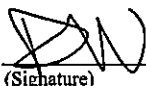


NVB 3001 (Effective 1/21)

UNITED STATES BANKRUPTCY COURT FOR THE DISTRICT OF NEVADA		PROOF OF INTEREST		
Name of Debtor: <b>Meta Materials, Inc.</b>	Case Number: <b>24-50792</b>	<b>RECEIVED AND FILED</b>  <b>DEC 16 2024</b>  <b>U.S. BANKRUPTCY COURT</b> <b>MARY A. SCHOTT, CLERK</b>		
<b>1. Name and address of holder of the Equity Interest</b> (the person or entity holding an Equity Interest in the Debtor. Referred to hereinafter as the "Interest holder"):  <p style="text-align: center;"><b>Derek Huy Vu</b>  <b>9 Aegean</b>  <b>Irvine, CA 92614</b></p> <p>Telephone Number: (949) 910-6329</p>	<input type="checkbox"/> Check box if you are aware that anyone else has filed a proof of interest relating to your interest. Attach copy of statement giving particulars.  <input checked="" type="checkbox"/> Check box if you have never received any notices from the bankruptcy court or the Debtors in this case.  <input type="checkbox"/> Check box if this address differs from the address on the envelope sent to you by the Debtors.			
<b>NOTE:</b> This form <b>SHOULD NOT</b> be used to make a claim against the Debtor for money owed. A separate Proof of Claim form should be used for that purpose. This form should only be used to assert an Equity Interest in the Debtor. An Equity Interest is any right arising from any capital stock and any equity security in any of the Debtor. An equity security is defined in the Bankruptcy Code as (a) a share in a corporation whether or not transferable or denominated stock or similar security, (b) interest of a limited partner in a limited partnership, or (c) warrant or right other than a right to convert, to purchase, sell, or subscribe to a share, security, or interest of a kind specified in subsection (a) or (b) herein.				
<b>Account or other number by which Interest holder identifies Debtor:</b> Robinhood Account #: 573742970 Webull Account #: 5ND69027	<b>Check here if this claim:</b> <input type="checkbox"/> replaces a previously filed Proof of Interest dated: _____ <input type="checkbox"/> amends a previously filed Proof of Interest dated: _____	<b>COURT USE ONLY</b>		
<b>2. Name and Address of any person or entity that is the record holder for the Equity Interest asserted in this Proof of Interest:</b>  <table border="0"> <tr> <td>Derek Vu Robinhood 85 Willow Rd., Menlo Park, CA 94025 (650) 761-7789</td> <td>Derek Huy Vu Webull Financial, LLC 44 Wall Street, New York, NY 10005 (917) 725-2448</td> </tr> </table> <p>Telephone Number: (650) 761-7789</p>	Derek Vu Robinhood 85 Willow Rd., Menlo Park, CA 94025 (650) 761-7789		Derek Huy Vu Webull Financial, LLC 44 Wall Street, New York, NY 10005 (917) 725-2448	<b>3. Date Equity Interest was acquired:</b>  Between 06/08/2021 - 04/14/2023 See Attached Documentation
Derek Vu Robinhood 85 Willow Rd., Menlo Park, CA 94025 (650) 761-7789	Derek Huy Vu Webull Financial, LLC 44 Wall Street, New York, NY 10005 (917) 725-2448			
<b>4. Total amount of member interest:</b> <u>283 Shares for \$23,696.95</u>	<b>5. Certificate number(s):</b> <u>N/A; See Attached Documentation</u>			
<b>6. Type of Equity Interest:</b> Please indicate the type of Equity Interest you hold: <input checked="" type="checkbox"/> Check this box if your Equity Interest is based on an actual member interest held in the Debtor. <input type="checkbox"/> Check this box if your Equity Interest is based on anything else and describe that interest: <b>Description:</b> <u>Investor</u>				
<b>7. Supporting Documents:</b> Attach copies of supporting documents, such as stock certificates, option agreements, warrants, etc. <b>DO NOT SEND ORIGINAL DOCUMENTS.</b> If the documents are not available, explain. If the documents are voluminous, attach a summary.				
<b>8. Date-Stamped Copy:</b> To receive an acknowledgement of the filing of your Proof of Interest, enclose a stamped, self-addressed envelope and copy of this Proof of Interest.				
<b>9. Signature:</b> Check the appropriate box. <input checked="" type="checkbox"/> I am the creditor. <input type="checkbox"/> I am the creditor's authorized agent. <input type="checkbox"/> I am the trustee, or the debtor, or their authorized agent. <input type="checkbox"/> I am a guarantor, surety, endorser, or other codebtor. (Attach copy of power of attorney, if any.)    (See Bankruptcy Rule 3004.)    (See Bankruptcy Rule 3005.)  I declare under penalty of perjury that the information provided in this claim is true and correct to the best of my knowledge, information, and reasonable belief.  Print Name: <u>Derek Huy Vu</u> Title: _____ Company: _____ Address and telephone number (if different from notice address above): _____ <div style="text-align: center;">           (Signature)       </div> <div style="text-align: right;"> <u>12/14/2024</u>          (Date)       </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <span>Telephone number: (949) 910-6329</span> <span>email: <u>dvuhru@gmail.com</u></span> </div>				

**Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571**

**Proof of Interest Supplemental Information:**

Meta Materials, Inc.

Case: 24-50792

For: Derek Huy Vu

**Robinhood Financial, LLC**

Account #: 573742970

Transactions [Pre-Reverse Merger] - Torchlight Energy Resources (TRCH)						
	Date	Symbol	Type (BUY/SELL/OTHER)	Quantity	Price/Share	Amount
	6/8/2021	TRCH	BUY	305	\$3.2800	\$ (1,000.40)
	6/9/2021	TRCH	BUY	321	\$3.1100	\$ (998.05)
	6/10/2021	TRCH	BUY	1,000	\$3.0800	\$ (3,078.60)
	6/10/2021	TRCH	BUY	341	\$2.9300	\$ (1,000.60)
	6/15/2021	TRCH	BUY	500	\$5.1300	\$ (2,564.65)
	6/16/2021	TRCH	BUY	590	\$5.9000	\$ (3,481.00)
	6/25/2021	TRCH	SELL	3,057	\$5.2800	\$ 16,142.49
	6/25/2021	TRCH	BUY	1,064	\$4.7000	\$ (5,000.80)
				<b>1,064</b>		<b>\$ (981.61)</b>
<b>Reverse Merger Spin-Off of TRCH to MMAT</b>	6/25/2021	TRCH → MMAT	Reverse Merger	1,064	N/A	\$ (981.61)
<b>Reverse Stock Split 2 to 1</b>	6/28/2021	MMAT	2:1 Reverse Stock Split	<b>532</b>	N/A	<b>\$ (981.61)</b>
Transactions [Post-Reverse Stock Split 2 to 1] - Meta Materials (MMAT)						
	Date	Symbol	Type (BUY/SELL/OTHER)	Quantity	Price/Share	Amount
	6/29/2021	MMAT	BUY	500	\$7.07	\$ (3,534.10)
	7/6/2021	MMAT	BUY	143	\$6.99	\$ (999.57)
	7/7/2021	MMAT	BUY	120	\$6.28	\$ (753.60)
	7/9/2021	MMAT	BUY	127	\$5.18	\$ (657.29)
	7/9/2021	MMAT	BUY	196	\$5.11	\$ (1,001.05)
	7/9/2021	MMAT	BUY	199	\$5.01	\$ (996.99)
	7/13/2021	MMAT	BUY	240	\$3.99	\$ (956.83)

	7/14/2021	MMAT	BUY	10	\$3.95	\$ (39.50)
	7/14/2021	MMAT	BUY	1	\$3.82	\$ (3.82)
	8/16/2021	MMAT	BUY	315	\$3.17	\$ (998.55)
	9/29/2021	MMAT	SELL	(200)	\$6.29	\$ 1,257.97
	9/29/2021	MMAT	SELL	(300)	\$6.29	\$ 1,887.25
	9/29/2021	MMAT	SELL	(100)	\$6.29	\$ 628.98
	9/29/2021	MMAT	SELL	(200)	\$6.29	\$ 1,257.97
	9/29/2021	MMAT	SELL	(100)	\$6.29	\$ 628.98
	9/29/2021	MMAT	SELL	(159)	\$6.29	\$ 1,000.24
	9/29/2021	MMAT	SELL	(100)	\$6.29	\$ 628.98
	9/29/2021	MMAT	SELL	(200)	\$6.29	\$ 1,257.97
	9/29/2021	MMAT	SELL	(100)	\$6.29	\$ 628.98
	9/29/2021	MMAT	SELL	(824)	\$6.28	\$ 5,174.59
	9/29/2021	MMAT	SELL	(100)	\$6.29	\$ 628.98
	9/29/2021	MMAT	BUY	1	\$6.00	\$ (6.00)
	9/29/2021	MMAT	BUY	139	\$5.86	\$ (814.30)
	9/29/2021	MMAT	BUY	288	\$5.86	\$ (1,687.19)
	9/29/2021	MMAT	BUY	200	\$5.74	\$ (1,148.00)
	10/1/2021	MMAT	BUY	186	\$5.39	\$ (1,002.41)
	10/4/2021	MMAT	BUY	187	\$5.35	\$ (1,000.02)
	10/4/2021	MMAT	BUY	99	\$5.08	\$ (502.43)
	10/4/2021	MMAT	BUY	41	\$5.13	\$ (210.33)
	10/4/2021	MMAT	BUY	59	\$5.13	\$ (302.67)
	10/6/2021	MMAT	BUY	200	\$4.99	\$ (997.70)
	10/18/2021	MMAT	BUY	151	\$4.87	\$ (735.37)
	10/19/2021	MMAT	BUY	211	\$4.75	\$ (1,002.25)
	10/21/2021	MMAT	BUY	149	\$4.74	\$ (705.95)
	10/21/2021	MMAT	BUY	62	\$4.74	\$ (293.75)
	10/22/2021	MMAT	BUY	235	\$4.27	\$ (1,003.03)
	10/22/2021	MMAT	BUY	239	\$4.19	\$ (1,000.93)
	11/2/2021	MMAT	SELL	(2,447)	\$5.11	\$ 12,503.81
	11/2/2021	MMAT	BUY	1	\$4.92	\$ (4.92)
	11/3/2021	MMAT	BUY	99	\$4.87	\$ (482.13)
	11/5/2021	MMAT	BUY	196	\$4.81	\$ (942.76)

	11/5/2021	MMAT	BUY	11	\$4.81	\$ (52.91)
	11/5/2021	MMAT	BUY	1	\$4.81	\$ (4.81)
	11/15/2021	MMAT	BUY	209	\$4.78	\$ (998.73)
	11/15/2021	MMAT	BUY	216	\$4.63	\$ (1,000.08)
	11/16/2021	MMAT	BUY	228	\$4.39	\$ (1,000.92)
	11/16/2021	MMAT	BUY	225	\$4.44	\$ (999.00)
	11/16/2021	MMAT	BUY	229	\$4.40	\$ (1,007.44)
<b>Positions Held [Pretransfer to Webull] - Meta Materials (MMAT)</b>	11/16/2021	MMAT	BUY	219	\$4.31	\$ (943.69)
				<b>1,102</b>		<b>\$ (2,306.32)</b>
<b>Total shares held at RH = 1,102 + 532 = 1,634</b>						
<b>Transferred all 1,634 MMAT shares held at Robinhood to Webull on 11/19/2021</b>	11/19/2021	MMAT	Transfer from RH to Webull	<b>1,634</b>	N/A	N/A

**Webull Financial, LLC****Account #: 5ND69027****Transactions [Post-Reverse Stock Split 2 to 1] - Meta Materials (MMATQ)**

	Date	Symbol	Type (BUY/SELL/OTHER)	Quantity	Price/Share	Amount
	2/24/2022	MMATQ	BUY	637	\$1.5800	\$ (1,006.46)
	3/3/2022	MMATQ	BUY	637	\$1.5900	\$ (1,012.83)
	4/11/2022	MMATQ	BUY	674	\$1.4800	\$ (997.52)
	4/21/2022	MMATQ	BUY	757	\$1.3300	\$ (1,006.81)
	4/21/2022	MMATQ	BUY	787	\$1.2800	\$ (1,007.36)
	4/26/2022	MMATQ	BUY	794	\$1.2600	\$ (1,000.44)
	4/26/2022	MMATQ	BUY	800	\$1.2500	\$ (1,000.00)
	6/27/2022	MMATQ	BUY	899	\$1.1700	\$ (1,051.83)
	7/11/2022	MMATQ	BUY	1,000	\$1.0000	\$ (1,000.00)
	7/18/2022	MMATQ	BUY	597	\$0.9500	\$ (567.15)
	7/22/2022	MMATQ	BUY	539	\$0.9290	\$ (500.73)
	7/22/2022	MMATQ	BUY	1,080	\$0.9250	\$ (999.00)
	8/3/2022	MMATQ	BUY	565	\$0.8850	\$ (500.03)
	8/19/2022	MMATQ	BUY	628	\$0.8624	\$ (541.59)
	11/8/2022	MMATQ	BUY	15	\$1.4100	\$ (21.15)
	11/9/2022	MMATQ	BUY	800	\$1.2500	\$ (1,000.00)

	11/10/2022	MMATQ	BUY	400	\$1.2500	\$ (500.00)
	2/7/2023	MMATQ	BUY	200	\$0.9165	\$ (183.30)
	2/13/2023	MMATQ	BUY	250	\$0.7800	\$ (195.00)
	2/13/2023	MMATQ	BUY	406	\$0.7500	\$ (304.50)
	2/21/2023	MMATQ	BUY	500	\$0.6784	\$ (339.20)
	2/21/2023	MMATQ	BUY	331	\$0.6747	\$ (223.33)
	2/21/2023	MMATQ	BUY	657	\$0.6600	\$ (433.62)
	2/22/2023	MMATQ	BUY	100	\$0.6639	\$ (66.39)
	2/24/2023	MMATQ	BUY	782	\$0.6394	\$ (500.01)
	2/24/2023	MMATQ	BUY	190	\$0.6318	\$ (120.04)
	3/1/2023	MMATQ	BUY	400	\$0.6000	\$ (240.00)
	3/9/2023	MMATQ	BUY	290	\$0.5500	\$ (159.50)
	3/9/2023	MMATQ	BUY	459	\$0.5450	\$ (250.16)
	3/9/2023	MMATQ	BUY	463	\$0.5400	\$ (250.02)
	3/16/2023	MMATQ	BUY	500	\$0.4999	\$ (249.95)
	3/16/2023	MMATQ	BUY	534	\$0.5000	\$ (267.00)
	3/23/2023	MMATQ	BUY	1,063	\$0.4700	\$ (499.61)
	3/28/2023	MMATQ	BUY	1,137	\$0.4400	\$ (500.28)
	3/30/2023	MMATQ	BUY	482	\$0.4150	\$ (200.03)
	4/5/2023	MMATQ	BUY	497	\$0.4040	\$ (200.79)
	4/11/2023	MMATQ	BUY	610	\$0.4100	\$ (250.10)
	4/12/2023	MMATQ	BUY	265	\$0.3780	\$ (100.17)
	4/13/2023	MMATQ	BUY	754	\$0.3300	\$ (248.82)
	4/14/2023	MMATQ	BUY	4,156	\$0.2200	\$ (914.32)
				<b>26,635</b>		<b>\$ (20,409.02)</b>
<b>Total shares held at Webull = 1,634 + 26,635 = 28,300</b>						
<b>Reverse Stock Split 100 to 1</b>	1/29/2024	MMATQ	100:1 Reverse Stock Split	28,300 → 283	N/A	N/A
<b>Positions Held [Post-Reverse Stock Split 100 to 1] - Meta Materials (MMATQ)</b>	<b>Date</b>	<b>Symbol</b>	<b>Type (BUY/SELL/OTHER)</b>	<b>Quantity</b>	<b>Price/Share</b>	<b>Total Invested</b>
	12/14/2024	MMATQ	N/A	<b>283</b>	N/A	<b>\$ (23,696.95)</b>

**Total shares held post-reverse split: 283 shares**

**Total amount invested: \$23,696.95**

**\*\*See Transaction documentation attached\*\***

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Transfer History

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## Transfer History

Transfer History / Transfer Assets into Webull



### Transfer Completed

Your stock transfer request has been completed and settled. The final assets transferred into your account may be less than what you initiated, this is because your delivering broker has charged fees for transferring out, the specific amount varies by broker.

For a full transfer, you may find that some of your securities or assets are still remained in the delivering account after the transfer is completed. This is common and will happen occasionally when you have unsettled trades or dividend payments at the time the stock transfer request is received. You don't have to do anything. The remaining securities will be transferred via residual sweep about 3-5 days after the completion of the stock transfer.

	Submitted	Review	Clearing	Complete
	11/19/2021 09:31:53 EST	04/22/2023 23:30:03 EDT	04/22/2023 23:30:03 EDT	04/22/2023 23:30:03 EDT
Current Status	Completed			Created Time
Updated Time	11/23/2021 05:18:44 EST			To
				Individual(5ND69027)

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Transfer Stocks out of Webull



WEBTRADE

TRADING &amp; INVESTING

PLATFORMS

MARKET

PRICING

PROMOTION

HUB

SUPPORT



Der\*\*\*com

Outgoing Account Name DEREK HUO VU

Transfer Method

ACATS

Transfer Type

PARTIAL

## Assets Details

## Cash Amount (USD)

Amount

\$0.44

## Position(s)

Symbol

Quantity

TSLA(Tesla Inc)

15

MMAT(Meta Materials Inc)

1634

ITRM(Iterum Therapeutics Plc)

13209

SNDL(SNDL INC)

2439

WISH(Contextlogic Inc.)

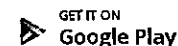
713

FUBO(Fubotv Inc.)

60

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Webull Financial LLC is a member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 in any cash awaiting reinvestment). An explanatory brochure is available upon request or at [www.sipc.org](http://www.sipc.org). Webull Financial LLC's clearing firm Apex Clearing Corp has purchased an additional insurance policy. The coverage limits provide protection for securities and cash up to an aggregate of \$150 million, subject to maximum limits of \$37.5 million for any one customer's securities and \$900,000 for any one customer's cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Options trading entails significant risk and is not appropriate for all investors. Option investors can rapidly lose the value of their investment in a short period of time and incur permanent loss by expiration date. Losses can potentially exceed the initial required deposit. You need to complete an options trading application and get approval on eligible accounts. Please read the Characteristics and Risks of Standardized Options before trading options.

All investments involve risk, and not all risks are suitable for every investor. The value of securities may fluctuate and as a result, clients may lose more than their original investment. The past performance of a security, or financial product does not guarantee future results or returns. Keep in mind that while diversification may help spread risk, it does not assure a

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Transfer Stocks out of Webull

profit or protect against loss in a down market. There is always the potential of losing money when you invest in securities or other financial products. Investors should consider their investment objectives and risks carefully before investing.

Diversification does not eliminate the risk of experiencing investment losses. Margin trading increases risk of loss and includes the possibility of a forced sale if account equity drops below required levels. Margin is not available in all account types. Margin trading privileges are subject to Webull Financial, LLC review and approval. Leverage carries a high level of risk and is not suitable for all investors. Greater leverage creates greater losses in the event of adverse market movements.

Investors should be aware that system response, execution price, speed, liquidity, market data, and account access times are affected by many factors, including market volatility, size and type of order, market conditions, system performance, and other factors. Market volatility, volume and system availability may delay account access and trade executions.

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85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

06/01/2021 to 06/30/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

■ Options      ■ Equities      ■ Cash and Cash Equivalents

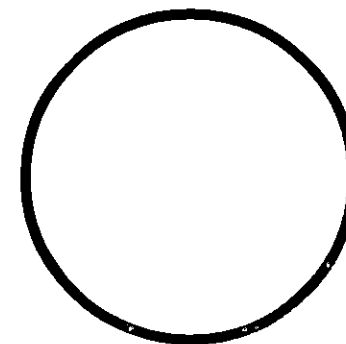
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$8,730.81	\$16,717.15
Total Securities	\$36,012.99	\$37,477.60
<b>Portfolio Value</b>	<b>\$44,743.80</b>	<b>\$54,194.75</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



● Cash and Cash  
Equivalents  
30.85%

■ Equities  
69.15%

■ Options  
0.00%

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

## Portfolio Summary

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Churchill Capital Estimated Yield: 0.00%	CCIV	Margin	90	\$28.82	\$2,593.80	\$0.00	4.79%
Dare Bioscience Estimated Yield: 0.00%	DARE	Margin	410	\$1.89	\$774.90	\$0.00	1.43%
Fubo TV Estimated Yield: 0.00%	FUBO	Margin	30	\$32.11	\$963.30	\$0.00	1.78%
Iteum Therapeutics Estimated Yield: 0.00%	ITRM	Margin	6,712	\$2.31	\$15,504.72	\$0.00	28.61%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	532	\$7.49	\$3,984.68	\$0.00	7.35%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	2,439	\$0.95	\$2,314.61	\$0.00	4.27%
Virgin Galactic Holdings Estimated Yield: 0.00%	SPCE	Margin	21	\$46.00	\$966.00	\$0.00	1.78%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.03	\$180.09	\$0.00	0.33%
Tesla Estimated Yield: 0.00%	TSLA	Margin	15	\$679.70	\$10,195.50	\$0.00	18.81%
<b>Total Securities</b>					<b>\$37,477.60</b>	<b>\$0.00</b>	<b>69.16%</b>
<b>Brokerage Cash Balance</b>					<b>\$16,717.15</b>		<b>30.85%</b>
<b>Total Priced Portfolio</b>					<b>\$54,194.75</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Moderna Unsolicited, CUSIP: 60770K107	MRNA	Margin	Sell	05/28/2021	60	\$182.48		\$10,949.03
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/03/2021	20	\$46.39	\$927.80	
GameStop Unsolicited, CUSIP: 36467W109	GME	Margin	Buy	06/03/2021	5	\$259.84	\$1,299.23	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/04/2021	10	\$45.00	\$450.00	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/04/2021	10	\$44.00	\$440.00	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/04/2021	8	\$43.00	\$344.00	
Liminal BioSciences Unsolicited, CUSIP: 53272L103	LMNL	Margin	Buy	06/04/2021	100	\$7.00	\$700.00	
Liminal BioSciences Unsolicited, CUSIP: 53272L103	LMNL	Margin	Sell	06/04/2021	62	\$7.00		\$433.99
Liminal BioSciences Unsolicited, CUSIP: 53272L103	LMNL	Margin	Sell	06/04/2021	38	\$7.00		\$266.00
Clover Health Investments Unsolicited, CUSIP: 18914F103	CLOV	Margin	Buy	06/07/2021	400	\$12.65	\$5,060.00	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Sell	06/08/2021	48	\$55.65		\$2,671.18
Clover Health Investments Unsolicited, CUSIP: 18914F103	CLOV	Margin	Sell	06/08/2021	200	\$24.22		\$4,843.95
Clover Health Investments Unsolicited, CUSIP: 18914F103	CLOV	Margin	Sell	06/08/2021	200	\$20.91		\$4,181.95
GameStop Unsolicited, CUSIP: 36467W109	GME	Margin	Sell	06/08/2021	5	\$311.76		\$1,558.79
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/08/2021	1,000	\$1.76	\$1,758.50	

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/08/2021	305	\$3.28	\$1,000.40	
Crypto Money Movement		Margin	COIN	06/11/2021			\$142.09	
Crypto Money Movement		Margin	COIN	06/11/2021			\$858.26	
GEO Group Unsolicited, CUSIP: 36162J106	GEO	Margin	Buy	06/09/2021	100	\$10.45	\$1,045.00	
GEO Group Unsolicited, CUSIP: 36162J106	GEO	Margin	Sell	06/09/2021	100	\$10.50		\$1,049.99
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/09/2021	321	\$3.11	\$998.05	
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/10/2021	1,000	\$3.08	\$3,078.60	
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/10/2021	341	\$2.93	\$1,000.60	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	34	\$10.20	\$346.80	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	64	\$10.20	\$652.80	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$10.12	\$1,011.95	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	200	\$10.02	\$2,003.70	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$9.65	\$965.00	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$9.70	\$970.00	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$9.60	\$960.00	

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$9.62	\$962.00	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	100	\$9.74	\$974.50	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	3	\$9.75	\$29.25	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Buy	06/10/2021	99	\$9.62	\$951.89	
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/14/2021	985	\$2.04	\$2,004.87	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Sell	06/14/2021	500	\$10.05		\$5,024.91
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Sell	06/14/2021	250	\$10.06		\$2,514.95
Churchill Capital Unsolicited, CUSIP: 171439102	CCIV	Margin	Buy	06/15/2021	45	\$22.62	\$1,017.90	
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/15/2021	517	\$1.94	\$1,001.89	
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/15/2021	500	\$5.13	\$2,564.65	
Apple Unsolicited, CUSIP: 037833100	AAPL	Margin	Sell	06/16/2021	52	\$130.56		\$6,789.07
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/16/2021	590	\$5.90	\$3,481.00	
UWM Unsolicited, CUSIP: 91823B109	UWMC	Margin	Sell	06/16/2021	250	\$9.85		\$2,462.45
Crypto Money Movement		Margin	COIN	06/21/2021			\$1,001.08	
Crypto Money Movement		Margin	COIN	06/21/2021			\$306.47	

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Crypto Money Movement		Margin	COIN	06/21/2021			\$694.04	
Crypto Money Movement		Margin	COIN	06/21/2021			\$1,001.19	
Crypto Money Movement		Margin	COIN	06/21/2021			\$999.95	
Crypto Money Movement		Margin	COIN	06/21/2021			\$1,000.02	
ACH Withdrawal		Margin	ACH	06/23/2021			\$1,234.00	
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Buy	06/21/2021	100	\$13.17	\$1,317.00	
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Sell	06/21/2021	100	\$13.22		\$1,321.98
Crypto Money Movement		Margin	COIN	06/23/2021			\$997.65	
Crypto Money Movement		Margin	COIN	06/23/2021			\$999.63	
Crypto Money Movement		Margin	COIN	06/23/2021			\$1,006.74	
Novavax Unsolicited, CUSIP: 670002401	NVAX	Margin	Sell	06/21/2021	18	\$174.82		\$3,146.79
Crypto Money Movement		Margin	COIN	06/24/2021				\$7,068.63
Iteum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/22/2021	1,000	\$1.99	\$1,988.00	
Iteum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/24/2021	500	\$1.67	\$834.30	
Iteum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	06/24/2021	1,000	\$1.78	\$1,780.00	
Meta Materials Unsolicited, CUSIP: 59134N104		Margin	SPR	06/28/2021	1,528			
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103		Margin	SPR	06/28/2021	3,057S			

**Account Activity**

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Fubo TV Unsolicited, CUSIP: 35953D104	FUBO	Margin	Buy	06/25/2021	30	\$32.96	\$988.88	
Meta Materials Unsolicited, CUSIP: 59134N104		Margin	SPR	06/28/2021	996S			
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/25/2021	1,064	\$4.70	\$5,000.80	
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103		Margin	SPR	06/28/2021	1,993			
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Sell	06/25/2021	3,057	\$5.28		\$16,142.04
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Buy	06/25/2021	21	\$48.79	\$1,024.59	
ACH Withdrawal		Margin	ACH	06/30/2021			\$1,264.29	
<b>Total Funds Paid and Received</b>							<b>\$62,439.36</b>	<b>\$70,425.70</b>

**Executed Trades Pending Settlement**

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	Margin	Buy	06/29/2021	07/01/2021	25	\$48.23	\$1,205.75	
Churchill Capital Unsolicited, CUSIP: 171439102	Margin	Buy	06/29/2021	07/01/2021	40	\$26.52	\$1,060.71	
Meta Materials Unsolicited, CUSIP: 59134N104	Margin	Buy	06/29/2021	07/01/2021	500	\$7.07	\$3,534.10	
ContextLogic Unsolicited, CUSIP: 21077C107	Margin	Buy	06/29/2021	07/01/2021	150	\$13.85	\$2,077.49	
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	Margin	Buy	06/29/2021	07/01/2021	25	\$48.40	\$1,210.07	
Fubo TV Unsolicited, CUSIP: 35953D104	Margin	Buy	06/29/2021	07/01/2021	50	\$32.58	\$1,629.03	
Dingdong Unsolicited, CUSIP: 25445D101	Margin	Buy	06/30/2021	07/02/2021	26	\$38.00	\$988.00	
Dingdong Unsolicited, CUSIP: 25445D101	Margin	Sell	06/30/2021	07/02/2021	26	\$40.00		\$1,039.99
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	Margin	Buy	06/30/2021	07/02/2021	22	\$45.30	\$996.61	
<b>Total Executed Trades Pending Settlement</b>							<b>\$12,701.76</b>	<b>\$1,039.99</b>

## Important Information

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial LLC ("RHF"). If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debit balances in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debit balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to fees and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise Robinhood of any material changes concerning your investment objectives or financial situation by updating your information using the Robinhood platform or by contacting [help@robinhood.com](mailto:help@robinhood.com).

Our financial statement is available for your personal inspection; it can also be emailed to you upon request.

RHS is a Member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

### Notice to Customers

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

As required, under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, we provide securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashiering services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

Interest charges to your account may be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charges to customers, consult the RHF Fee Schedule, available at <https://rbnhd.co/fees>.

We also offer Robinhood Cash Management as an additional feature of your account. Robinhood Cash Management includes debit card access to your account and automatic sweep of uninvested cash to bank deposits. If you participate in Robinhood Cash Management, your use of the debit card, and your rights with respect to debit card transactions, will be governed by the Robinhood Debit Card Agreement, which has been provided to you and is available at <https://rbnhd.co/debit-card-agreement>.

In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email Robinhood at [help@robinhood.com](mailto:help@robinhood.com). Robinhood must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

- A. Tell Robinhood your name and account number.
- B. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- C. Tell Robinhood the dollar amount of the suspected error.

Robinhood will investigate your complaint and will correct any error promptly. If we take more than ten (10) business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes Robinhood to complete our investigation.

If you participate in Robinhood Cash Management, your uninvested cash is swept into accounts at FDIC-insured program banks, where your uninvested cash will earn interest from the program banks and be eligible for FDIC insurance up to applicable limits, subject to FDIC rules. Please see the Robinhood Securities, LLC & Robinhood Financial LLC Insured Network Deposit Sweep Program Disclosures, available at <https://rbnhd.co/ind-disclosure>, for the terms and conditions of this sweep program, including information regarding FDIC insurance coverage.

RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: [help@robinhood.com](mailto:help@robinhood.com).

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venue. In addition, the Rule (SEC 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

Statement of Financial Condition  
Robinhood Securities, LLC, audited Statement of Financial Condition as of December 31, 2020 is available on the Company's website at [www.robinhood.com/legal](http://www.robinhood.com/legal). A paper copy may be requested at no cost by calling 1-(800)-282-1327. On December 31, 2020, Robinhood Securities, LLC, had a net capital of \$554,391,618, which was \$486,817,019 in excess of its required net capital of \$67,574,599.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.



85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

07/01/2021 to 07/31/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

☐ Options ☒ Equities ☐ Cash and Cash Equivalents

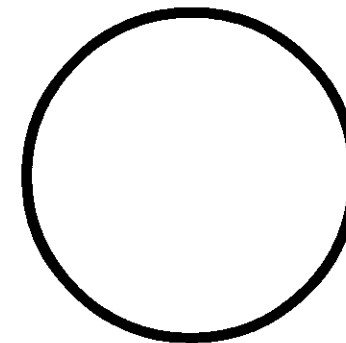
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$16,717.15	\$0.88
Total Securities	\$37,477.60	\$36,051.21
<b>Portfolio Value</b>	<b>\$54,194.75</b>	<b>\$36,052.09</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



☒ Cash and Cash Equivalents  
0.00%  
☒ Equities  
100.00%  
☒ Options  
0.00%

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

## Portfolio Summary

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Fubo TV Estimated Yield: 0.00%	FUBO	Margin	80	\$26.04	\$2,083.20	\$0.00	5.78%
Iterum Therapeutics Estimated Yield: 0.00%	ITRM	Margin	10,254	\$0.78	\$7,986.84	\$0.00	22.15%
Lucid Group Estimated Yield: 0.00%	LCID	Margin	130	\$23.72	\$3,083.60	\$0.00	8.55%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	2,068	\$3.50	\$7,238.00	\$0.00	20.08%
MMAT Preferred Shares Estimated Yield: 0.00%	MMAT-A	Margin	3,057	\$0.01	\$30.57	\$0.00	0.08%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	2,439	\$0.82	\$2,011.93	\$0.00	5.58%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.02	\$118.33	\$0.00	0.33%
Tesla Estimated Yield: 0.00%	TSLA	Margin	15	\$687.20	\$10,308.00	\$0.00	28.59%
ContextLogic Estimated Yield: 0.00%	WISH	Margin	321	\$9.94	\$3,190.74	\$0.00	8.85%
<b>Total Securities</b>					<b>\$36,051.21</b>	<b>\$0.00</b>	<b>100.00%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.88</b>		<b>0.00%</b>
<b>Total Priced Portfolio</b>					<b>\$36,052.09</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Churchill Capital Unsolicited, CUSIP: 171439102	CCIV	Margin	Buy	06/29/2021	40	\$26.52	\$1,060.71	
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Buy	06/29/2021	150	\$13.85	\$2,077.49	
Fubo TV Unsolicited, CUSIP: 35953D104	FUBO	Margin	Buy	06/29/2021	50	\$32.58	\$1,629.03	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	06/29/2021	500	\$7.07	\$3,534.10	
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Buy	06/29/2021	25	\$48.40	\$1,210.07	
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Buy	06/29/2021	25	\$48.23	\$1,205.75	
Dingdong Unsolicited, CUSIP: 25445D101	DDL	Margin	Buy	06/30/2021	26	\$38.00	\$988.00	
Dingdong Unsolicited, CUSIP: 25445D101	DDL	Margin	Sell	06/30/2021	26	\$40.00		\$1,039.99
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Buy	06/30/2021	22	\$45.30	\$996.61	
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Buy	07/01/2021	80	\$12.49	\$999.02	
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Buy	07/01/2021	56	\$18.14	\$1,015.83	
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Buy	07/01/2021	100	\$20.00	\$2,000.00	
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Sell	07/01/2021	56	\$18.15		\$1,016.39
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Sell	07/01/2021	10	\$19.67		\$196.70
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Sell	07/01/2021	2	\$19.67		\$39.34

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Krispy Kreme Unsolicited, CUSIP: 50101L106	DNUT	Margin	Sell	07/01/2021	88	\$19.67		\$1,730.94
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/02/2021	425	\$1.38	\$586.50	
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/02/2021	300	\$1.38	\$414.00	
MMAT Preferred Shares Unsolicited, CUSIP: 59134N203		Margin	SOFF	07/07/2021	3,057			
Astra Space Unsolicited, CUSIP: 04634X103	ASTR	Margin	Buy	07/06/2021	1	\$14.39	\$14.39	
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/06/2021	742	\$1.35	\$1,001.70	
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/06/2021	1,074	\$1.31	\$1,406.94	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/06/2021	143	\$6.99	\$999.57	
Newegg Commerce Unsolicited, CUSIP: G6483G100	NEGG	Margin	Buy	07/06/2021	41	\$25.00	\$1,024.82	
Newegg Commerce Unsolicited, CUSIP: G6483G100	NEGG	Margin	Sell	07/06/2021	41	\$27.39		\$1,122.98
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Sell	07/06/2021	93	\$47.26		\$4,394.73
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Buy	07/07/2021	33	\$10.95	\$361.33	
ContextLogic Unsolicited, CUSIP: 21077C107	WISH	Margin	Buy	07/07/2021	58	\$10.95	\$635.07	
Dare Bioscience Unsolicited, CUSIP: 23666P101	DARE	Margin	Sell	07/07/2021	410	\$2.24		\$918.50
Iterum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/07/2021	1,000	\$1.16	\$1,158.90	

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/07/2021	120	\$6.28	\$753.60	
Newegg Commerce Unsolicited, CUSIP: G6483G100	NEGG	Margin	Buy	07/07/2021	30	\$36.72	\$1,101.48	
Newegg Commerce Unsolicited, CUSIP: G6483G100	NEGG	Margin	Sell	07/07/2021	30	\$54.93		\$1,647.89
Astra Space Unsolicited, CUSIP: 04634X103	ASTR	Margin	Sell	07/08/2021	1	\$13.85		\$13.85
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Buy	07/08/2021	50	\$45.31	\$2,265.50	
Virgin Galactic Holdings Unsolicited, CUSIP: 92766K106	SPCE	Margin	Sell	07/08/2021	50	\$45.19		\$2,259.48
ACH Deposit		Margin	ACH	07/13/2021				\$1,000.00
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/09/2021	127	\$5.18	\$657.29	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/09/2021	196	\$5.11	\$1,001.05	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/09/2021	199	\$5.01	\$996.99	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/13/2021	240	\$3.99	\$956.83	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/14/2021	10	\$3.95	\$39.50	
Meta Materials Unsolicited, CUSIP: 59134N104	MMAT	Margin	Buy	07/14/2021	1	\$3.82	\$3.82	
Iteum Therapeutics Unsolicited, CUSIP: G6333L101	ITRM	Margin	Buy	07/15/2021	1	\$1.17	\$1.17	
Security change from 171439102 to 549498103		Margin	SXCH	07/26/2021	130S			

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Security change from 171439102 to 549498103		Margin	SXCH	07/26/2021	130			
<b>Total Funds Paid and Received</b>							<b>\$32,097.06</b>	<b>\$15,380.79</b>

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Total Executed Trades Pending Settlement							\$0.00	\$0.00

## Important Information

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial LLC ("RHF"). If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debit balances in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debit balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to fees and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise Robinhood of any material changes concerning your investment objectives or financial situation by updating your information using the Robinhood platform or by contacting help@robinhood.com.

Our financial statement is available for your personal inspection; it can also be emailed to you upon request.

RHS is a Member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at www.sipc.org.

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

### Notice to Customers

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

As required, under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, we provide securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashing services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

Interest charges to your account may be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charges to customers, consult the RHF Fee Schedule, available at <https://rbnhd.co/fees>.

We also offer Robinhood Cash Management as an additional feature of your account. Robinhood Cash Management includes debit card access to your account and automatic sweep of uninvested cash to bank deposits. If you participate in Robinhood Cash Management, your use of the debit card, and your rights with respect to debit card transactions, will be governed by the Robinhood Debit Card Agreement, which has been provided to you and is available at <https://rbnhd.co/debit-card-agreement>.

In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email Robinhood at help@robinhood.com. Robinhood must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

- A. Tell Robinhood your name and account number.
- B. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- C. Tell Robinhood the dollar amount of the suspected error.

Robinhood will investigate your complaint and will correct any error promptly. If we take more than ten (10) business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes Robinhood to complete our investigation.

If you participate in Robinhood Cash Management, your uninvested cash is swept into accounts at FDIC-insured program banks, where your uninvested cash will earn interest from the program banks and be eligible for FDIC insurance up to applicable limits, subject to FDIC rules. Please see the Robinhood Securities, LLC & Robinhood Financial LLC Insured Network Deposit Sweep Program Disclosures, available at <https://rbnhd.co/ind-disclosure>, for the terms and conditions of this sweep program, including information regarding FDIC insurance coverage.

RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: help@robinhood.com.

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venue. In addition, the Rule (SEC 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

### Statement of Financial Condition

Robinhood Securities, LLC, audited Statement of Financial Condition as of December 31, 2020 is available on the Company's website at [www.robinhood.com/legal](http://www.robinhood.com/legal). A paper copy may be requested at no cost by calling 1-(800)-282-1327. On December 31, 2020, Robinhood Securities, LLC, had a net capital of \$554,391,618, which was \$486,817,019 in excess of its required net capital of \$67,574,599.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.



85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

08/01/2021 to 08/31/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

Options Equities Cash and Cash Equivalents

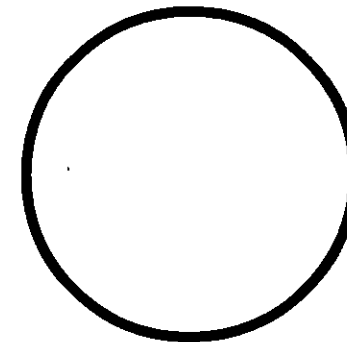
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$0.88	\$0.68
Total Securities	\$36,051.21	\$42,116.80
<b>Portfolio Value</b>	<b>\$36,052.09</b>	<b>\$42,117.48</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



Cash and Cash  
Equivalents  
0.00%

Equities  
100.00%

Options  
0.00%

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

**Portfolio Summary**

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Fubo TV Estimated Yield: 0.00%	FUBO	Margin	3.5	\$29.15	\$102.03	\$0.00	0.24%
Iterum Therapeutics Estimated Yield: 0.00%	ITRM	Margin	13,209	\$0.67	\$8,850.03	\$0.00	21.01%
Lucid Group Estimated Yield: 0.00%	LCID	Margin	130	\$19.96	\$2,594.80	\$0.00	6.16%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	2,383	\$4.65	\$11,080.95	\$0.00	26.31%
MMAT Preferred Shares Estimated Yield: 0.00%	MMAT-A	Margin	3,057	\$0.01	\$30.57	\$0.00	0.07%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	2,439	\$0.78	\$1,901.93	\$0.00	4.52%
Evolve Transition Infrastructure Estimated Yield: 0.00%	SNMP	Margin	1,176	\$1.09	\$1,281.84	\$0.00	3.04%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.02	\$98.12	\$0.00	0.23%
Tesla Estimated Yield: 0.00%	TSLA	Margin	15	\$735.72	\$11,035.80	\$0.00	26.20%
ContextLogic Estimated Yield: 0.00%	WISH	Margin	713	\$7.21	\$5,140.73	\$0.00	12.21%
<b>Total Securities</b>					<b>\$42,116.80</b>	<b>\$0.00</b>	<b>100.00%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.68</b>		<b>0.00%</b>
<b>Total Priced Portfolio</b>					<b>\$42,117.48</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Crypto Money Movement		Margin	COIN	08/02/2021				\$1,001.49
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/04/2021	200	\$1.68	\$336.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/04/2021	200	\$1.68	\$335.54	
Crypto Money Movement		Margin	COIN	08/09/2021				\$2,046.25
Crypto Money Movement		Margin	COIN	08/09/2021				\$1,988.74
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Sell	08/05/2021	400	\$1.69		\$676.18
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/06/2021	623	\$1.55	\$965.34	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Sell	08/09/2021	623	\$1.58		\$984.88
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/11/2021	3	\$1.45	\$4.35	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/11/2021	59	\$1.45	\$85.55	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/11/2021	338	\$1.45	\$490.10	
Fubo TV CUSIP: 35953D104	FUBO	Margin	Sell	08/11/2021	80	\$31.93		\$2,554.74
Iteum Therapeutics CUSIP: G6333L101	ITRM	Margin	Buy	08/11/2021	1,450	\$0.69	\$998.62	
Iteum Therapeutics CUSIP: G6333L101	ITRM	Margin	Buy	08/11/2021	1,503	\$0.69	\$1,035.57	
ContextLogic CUSIP: 21077C107	WISH	Margin	Buy	08/12/2021	54	\$8.36	\$451.44	

**Account Activity**

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
ContextLogic CUSIP: 21077C107	WISH	Margin	Buy	08/12/2021	66	\$8.36	\$551.76	
ContextLogic CUSIP: 21077C107	WISH	Margin	Buy	08/12/2021	127	\$7.88	\$1,000.76	
ContextLogic CUSIP: 21077C107	WISH	Margin	Buy	08/13/2021	72	\$6.92	\$498.24	
ContextLogic CUSIP: 21077C107	WISH	Margin	Buy	08/13/2021	73	\$6.85	\$500.05	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/13/2021	422	\$1.19	\$502.18	
Fubo TV CUSIP: 35953D104	FUBO	Margin	Buy	08/13/2021	0.5	\$28.74	\$14.37	
Fubo TV CUSIP: 35953D104	FUBO	Margin	Buy	08/13/2021	3	\$28.74	\$86.21	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/16/2021	135	\$1.12	\$151.20	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	08/16/2021	219	\$1.12	\$245.28	
Iteum Therapeutics CUSIP: G6333L101	ITRM	Margin	Buy	08/16/2021	2	\$0.69	\$1.37	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	08/16/2021	315	\$3.17	\$998.55	
<b>Total Funds Paid and Received</b>							<b>\$9,252.48</b>	<b>\$9,252.28</b>

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Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Total Executed Trades Pending Settlement							\$0.00	\$0.00

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In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email Robinhood at [help@robinhood.com](mailto:help@robinhood.com). Robinhood must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

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RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: [help@robinhood.com](mailto:help@robinhood.com).

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Statement of Financial Condition  
Robinhood Securities, LLC. Unaudited Statement of Financial Condition as of June 30, 2021 is available on the Company's website at <http://www.robinhood.com/legal>. A paper copy may be requested at no cost by calling 1-(800)-282-1327. On June 30, 2021, Robinhood Securities, LLC, had a net capital of \$2,722,363,896, which was \$2,612,355,106 in excess of its required net capital of \$110,008,790.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.



85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

09/01/2021 to 09/30/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

Options

Equities

Cash and Cash Equivalents

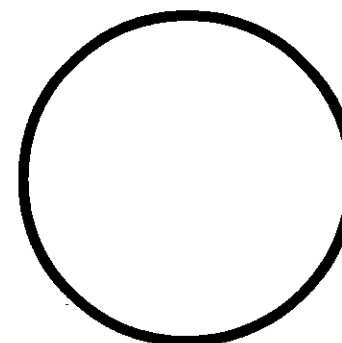
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$0.68	\$1,494.05
Total Securities	\$42,116.80	\$41,751.21
<b>Portfolio Value</b>	<b>\$42,117.48</b>	<b>\$43,245.26</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



Cash and Cash  
Equivalents  
3.45%

Equities  
96.55%

Options  
0.00%

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**Portfolio Summary**

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Fubo TV Estimated Yield: 0.00%	FUBO	Margin	3.5	\$23.96	\$83.86	\$0.00	0.19%
Iteum Therapeutics Estimated Yield: 0.00%	ITRM	Margin	13,209	\$0.56	\$7,375.91	\$0.00	17.06%
Lucid Group Estimated Yield: 0.00%	LCID	Margin	130	\$25.38	\$3,299.40	\$0.00	7.63%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	2,383	\$5.78	\$13,773.74	\$0.00	31.85%
MMAT Preferred Shares Estimated Yield: 0.00%	MMAT-A	Margin	3,057	\$0.01	\$30.57	\$0.00	0.07%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	2,439	\$0.68	\$1,653.89	\$0.00	3.82%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.00	\$8.66	\$0.00	0.02%
Tesla Estimated Yield: 0.00%	TSLA	Margin	15	\$775.48	\$11,632.20	\$0.00	26.90%
ContextLogic Estimated Yield: 0.00%	WISH	Margin	713	\$5.46	\$3,892.98	\$0.00	9.00%
<b>Total Securities</b>					<b>\$41,751.21</b>	<b>\$0.00</b>	<b>96.55%</b>
<b>Brokerage Cash Balance</b>					<b>\$1,494.05</b>		<b>3.45%</b>
<b>Total Priced Portfolio</b>					<b>\$43,245.26</b>		

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Sell	09/27/2021	1,176	\$1.27		\$1,493.37
<b>Total Funds Paid and Received</b>							<b>\$0.00</b>	<b>\$1,493.37</b>

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Sell	09/27/2021	1,176	\$1.27		\$1,493.37
<b>Total Funds Paid and Received</b>							<b>\$0.00</b>	<b>\$1,493.37</b>

**Executed Trades Pending Settlement**

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	300	\$6.29		\$1,887.25
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	159	\$6.29		\$1,000.24
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	200	\$6.29		\$1,257.97
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	200	\$6.29		\$1,257.97
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	200	\$6.29		\$1,257.97
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	Margin	Sell	09/29/2021	10/01/2021	824	\$6.28		\$5,174.59
Camber Energy CUSIP: 13200M508	Margin	Buy	09/29/2021	10/01/2021	243	\$4.13	\$1,003.57	
Meta Materials CUSIP: 59134N104	Margin	Buy	09/29/2021	10/01/2021	1	\$6.00	\$6.00	
Camber Energy CUSIP: 13200M508	Margin	Buy	09/29/2021	10/01/2021	500	\$3.99	\$1,995.00	

**Executed Trades Pending Settlement**

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Camber Energy CUSIP: 13200M508	Margin	Buy	09/29/2021	10/01/2021	250	\$3.85	\$962.50	
Meta Materials CUSIP: 59134N104	Margin	Buy	09/29/2021	10/01/2021	139	\$5.86	\$814.30	
Meta Materials CUSIP: 59134N104	Margin	Buy	09/29/2021	10/01/2021	288	\$5.86	\$1,687.19	
Camber Energy CUSIP: 13200M508	Margin	Buy	09/29/2021	10/01/2021	500	\$3.13	\$1,565.00	
Meta Materials CUSIP: 59134N104	Margin	Buy	09/29/2021	10/01/2021	200	\$5.74	\$1,148.00	
Camber Energy CUSIP: 13200M508	Margin	Sell	09/30/2021	10/04/2021	142	\$3.83		\$543.87
Camber Energy CUSIP: 13200M508	Margin	Sell	09/30/2021	10/04/2021	1,351	\$3.83		\$5,174.55
<b>Total Executed Trades Pending Settlement</b>							<b>\$9,181.56</b>	<b>\$20,699.31</b>

## Important Information

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial LLC ("RHF"). If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debit balances in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debit balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to fees and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

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RHS is a Member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

Notice to Customers

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

As required, under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, we provide securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashiering services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

Interest charges to your account may be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charges to customers, consult the RHF Fee Schedule, available at <https://rbnhd.co/fees>.

We also offer Robinhood Cash Management as an additional feature of your account. Robinhood Cash Management includes debit card access to your account and automatic sweep of uninvested cash to bank deposits. If you participate in Robinhood Cash Management, your use of the debit card, and your rights with respect to debit card transactions, will be governed by the Robinhood Debit Card Agreement, which has been provided to you and is available at <https://rbnhd.co/debit-card-agreement>.

In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email Robinhood at [help@robinhood.com](mailto:help@robinhood.com). Robinhood must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

- A. Tell Robinhood your name and account number.
- B. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- C. Tell Robinhood the dollar amount of the suspected error.

Robinhood will investigate your complaint and will correct any error promptly. If we take more than ten (10) business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes Robinhood to complete our investigation.

If you participate in Robinhood Cash Management, your uninvested cash is swept into accounts at FDIC-insured program banks, where your uninvested cash will earn interest from the program banks and be eligible for FDIC insurance up to applicable limits, subject to FDIC rules. Please see the Robinhood Securities, LLC & Robinhood Financial LLC Insured Network Deposit Sweep Program Disclosures, available at <https://rbnhd.co/ind-disclosure>, for the terms and conditions of this sweep program, including information regarding FDIC insurance coverage.

RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: [help@robinhood.com](mailto:help@robinhood.com).

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venue. In addition, the Rule (SEC 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

Statement of Financial Condition  
Robinhood Securities, LLC. Unaudited Statement of Financial Condition as of June 30, 2021 is available on the Company's website at <http://www.robinhood.com/legal>. A paper copy may be requested at no cost by calling 1-(800)-282-1327. On June 30, 2021, Robinhood Securities, LLC, had a net capital of \$2,722,363,896, which was \$2,612,355,106 in excess of its required net capital of \$110,008,790.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.



85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

10/01/2021 to 10/31/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

Options Equities Cash and Cash Equivalents

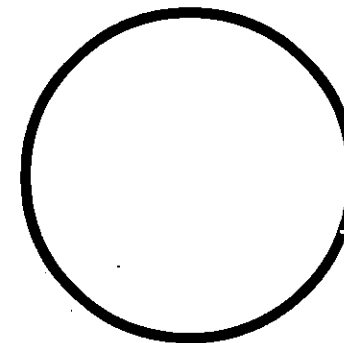
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$1,494.05	\$2,996.92
Total Securities	\$41,751.21	\$49,450.97
<b>Portfolio Value</b>	<b>\$43,245.26</b>	<b>\$52,447.89</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



- Cash and Cash Equivalents 5.71%
- Equities 93.82%
- Options 0.46%

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

**Portfolio Summary**

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
Iterum Therapeutics Estimated Yield: 0.00%	ITRM	Margin	13,209	\$0.53	\$7,053.61	\$0.00	13.45%
Lucid Group Estimated Yield: 0.00%	LCID	Margin	130	\$36.99	\$4,808.70	\$0.00	9.17%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	2,447	\$4.70	\$11,500.90	\$0.00	21.93%
MMAT Preferred Shares Estimated Yield: 0.00%	MMTLP	Margin	3,057	\$1.28	\$3,912.96	\$0.00	7.46%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	2,439	\$0.65	\$1,585.35	\$0.00	3.02%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.00	\$1.15	\$0.00	0.00%
Tesla Estimated Yield: 0.00%	TSLA	Margin	15	\$1,114.00	\$16,710.00	\$0.00	31.86%
ContextLogic Estimated Yield: 0.00%	WISH	Margin	713	\$5.10	\$3,636.30	\$0.00	6.93%
UAL 12/17/2021 Call \$50.00 Estimated Yield: 0.00%	UAL	Margin	2	\$1.21	\$242.00	\$0.00	0.46%
<b>Total Securities</b>					<b>\$49,450.97</b>	<b>\$0.00</b>	<b>94.29%</b>
<b>Brokerage Cash Balance</b>					<b>\$2,996.92</b>		<b>5.71%</b>
<b>Total Priced Portfolio</b>					<b>\$52,447.89</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Camber Energy CUSIP: 13200M508	CEI	Margin	Buy	09/29/2021	500	\$3.13	\$1,565.00	
Camber Energy CUSIP: 13200M508	CEI	Margin	Buy	09/29/2021	250	\$3.85	\$962.50	
Camber Energy CUSIP: 13200M508	CEI	Margin	Buy	09/29/2021	500	\$3.99	\$1,995.00	
Camber Energy CUSIP: 13200M508	CEI	Margin	Buy	09/29/2021	243	\$4.13	\$1,003.57	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	09/29/2021	200	\$5.74	\$1,148.00	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	09/29/2021	288	\$5.86	\$1,687.19	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	09/29/2021	139	\$5.86	\$814.30	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	09/29/2021	1	\$6.00	\$6.00	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	824	\$6.28		\$5,174.59
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	200	\$6.29		\$1,257.97
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	200	\$6.29		\$1,257.97

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	200	\$6.29		\$1,257.97
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	100	\$6.29		\$628.98
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	159	\$6.29		\$1,000.24
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	09/29/2021	300	\$6.29		\$1,887.25
Camber Energy CUSIP: 13200M508	CEI	Margin	Sell	09/30/2021	1,351	\$3.83		\$5,174.55
Camber Energy CUSIP: 13200M508	CEI	Margin	Sell	09/30/2021	142	\$3.83		\$543.87
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/01/2021	186	\$5.39	\$1,002.41	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/04/2021	59	\$5.13	\$302.67	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/04/2021	41	\$5.13	\$210.33	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/04/2021	99	\$5.08	\$502.43	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/04/2021	187	\$5.35	\$1,000.02	
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	BTO	10/06/2021	10	\$0.45	\$450.00	
TLRY 10/08/2021 Put \$10.00	TLRY	Margin	BTO	10/06/2021	10	\$0.49	\$490.00	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/06/2021	200	\$4.99	\$997.70	
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	STC	10/07/2021	1	\$0.08		\$7.98
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	STC	10/07/2021	1	\$0.08		\$7.98

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	STC	10/07/2021	2	\$0.08		\$15.98
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	STC	10/07/2021	2	\$0.08		\$15.98
TLRY 10/08/2021 Call \$12.00	TLRY	Margin	STC	10/07/2021	4	\$0.08		\$31.98
Option Expiration for TLRY 2021-10-08 put \$10.00		Margin	OEXP	10/08/2021	10S			
UAL 12/17/2021 Call \$50.00	UAL	Margin	BTO	10/13/2021	2	\$2.50	\$500.00	
Fubo TV CUSIP: 35953D104	FUBO	Margin	Sell	10/18/2021	3.5	\$29.16		\$102.06
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/18/2021	151	\$4.87	\$735.37	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/19/2021	211	\$4.75	\$1,002.25	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/21/2021	149	\$4.74	\$705.95	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/21/2021	62	\$4.74	\$293.75	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/22/2021	239	\$4.19	\$1,000.93	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	10/22/2021	235	\$4.27	\$1,003.03	
Total Funds Paid and Received							\$19,378.40	\$20,881.27

**Executed Trades Pending Settlement**

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Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
Lucid Group CUSIP: 549498103	Margin	Sell	10/28/2021	11/01/2021	130	\$38.39		\$4,990.65
<b>Total Executed Trades Pending Settlement</b>							<b>\$0.00</b>	<b>\$4,990.65</b>

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Statement of Financial Condition  
Robinhood Securities, LLC. Unaudited Statement of Financial Condition as of June 30, 2021 is available on the Company's website at <http://www.robinhood.com/legal>. A paper copy may be requested at no cost by calling 1-(800)-282-1327. On June 30, 2021, Robinhood Securities, LLC. had a net capital of \$2,722,363,896, which was \$2,612,355,106 in excess of its required net capital of \$110,008,790.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS.



85 Willow Rd, Menlo Park, CA 94025  
help@robinhood.com

11/01/2021 to 11/30/2021  
**DEREK VU** Account #:573742970  
9 Aegean, Irvine, CA 92614

Options Equities Cash and Cash Equivalents

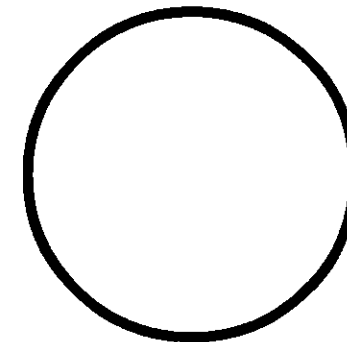
### Account Summary

	Opening Balance	Closing Balance
Net Account Balance	\$2,996.92	\$0.00
Total Securities	\$49,450.97	\$13,586.49
<b>Portfolio Value</b>	<b>\$52,447.89</b>	<b>\$13,586.49</b>

### Income and Expense Summary

	This Period	Year to Date
Dividends	\$0.00	\$22.10
Capital Gains Distributions	\$0.00	\$0.00
Interest Earned	\$0.00	\$0.00

### Portfolio Allocation



Cash and Cash  
Equivalents  
0.00%  
 Equities  
100.00%  
 Options  
0.00%

This statement shall be conclusive if not objected to in writing within ten days (except with respect to debit card transactions). Errors and omissions exempted. Please address all communications to the firm and not to the individuals. Address changes or other material changes in your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

**Portfolio Summary**

<b>Securities Held in Account</b>	<b>Sym/Cusip</b>	<b>Acct Type</b>	<b>Qty</b>	<b>Price</b>	<b>Mkt Value</b>	<b>Est. Dividend Yield</b>	<b>% of Total Portfolio</b>
MMAT Preferred Shares Estimated Yield: 0.00%	MMTLP	Margin	3,057	\$1.87	\$5,716.59	\$0.00	42.08%
Evolve Transition Infrastructure Estimated Yield: 0.00%	SNMP	Margin	9,871	\$0.80	\$7,868.17	\$0.00	57.91%
Taronis Technologies Estimated Yield: 0.00%	TRNX	Margin	5,772	\$0.00	\$1.73	\$0.00	0.01%
<b>Total Securities</b>					<b>\$13,586.49</b>	<b>\$0.00</b>	<b>100.00%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.00</b>		<b>0.00%</b>
<b>Total Priced Portfolio</b>					<b>\$13,586.49</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Lucid Group CUSIP: 549498103	LCID	Margin	Sell	10/28/2021	130	\$38.39		\$4,990.65
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/02/2021	1	\$4.92	\$4.92	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Sell	11/02/2021	2,447	\$5.11		\$12,503.81
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/03/2021	99	\$4.87	\$482.13	
UAL 12/17/2021 Call \$50.00	UAL	Margin	STC	11/05/2021	1	\$3.90		\$389.98
DKNK 11/19/2021 Call \$50.00	DKNK	Margin	BTO	11/08/2021	9	\$0.32	\$288.00	
DKNK 11/19/2021 Call \$50.00	DKNK	Margin	BTO	11/08/2021	9	\$0.32	\$288.00	
DKNK 11/19/2021 Call \$50.00	DKNK	Margin	BTO	11/08/2021	1	\$0.32	\$32.00	
DKNK 11/19/2021 Call \$50.00	DKNK	Margin	BTO	11/08/2021	1	\$0.32	\$32.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/05/2021	330	\$1.19	\$392.50	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/05/2021	844	\$1.19	\$1,003.94	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/05/2021	841	\$1.18	\$992.38	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/05/2021	838	\$1.20	\$1,005.18	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/05/2021	11	\$4.81	\$52.91	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/05/2021	1	\$4.81	\$4.81	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/05/2021	196	\$4.81	\$942.76	

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
UAL 12/17/2021 Call \$50.00	UAL	Margin	STC	11/08/2021	1	\$5.45		\$544.98
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	840	\$1.19	\$999.01	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	840	\$1.19	\$996.66	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	847	\$1.19	\$1,004.80	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	200	\$1.18	\$236.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	200	\$1.18	\$236.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	200	\$1.18	\$236.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	248	\$1.18	\$292.64	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	200	\$1.17	\$234.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	100	\$1.17	\$117.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	255	\$1.17	\$298.35	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	300	\$1.17	\$351.00	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	463	\$1.17	\$541.71	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	392	\$1.17	\$458.64	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/09/2021	855	\$1.17	\$1,000.35	

## Account Activity

Description	Symbol	AcctType	Transaction	Date	Qty	Price	Debit	Credit
Fubo TV CUSIP: 35953D104	FUBO	Margin	Buy	11/09/2021	28	\$31.18	\$873.04	
Fubo TV CUSIP: 35953D104	FUBO	Margin	Buy	11/09/2021	32	\$31.03	\$992.96	
TDH Holdings CUSIP: G87084102	PETZ	Margin	Buy	11/09/2021	120	\$8.25	\$990.31	
TDH Holdings CUSIP: G87084102	PETZ	Margin	Sell	11/09/2021	40	\$8.25		\$330.00
TDH Holdings CUSIP: G87084102	PETZ	Margin	Sell	11/09/2021	80	\$8.25		\$659.98
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Sell	11/11/2021	1,150	\$1.19		\$1,368.35
Crypto Money Movement		Margin	COIN	11/16/2021			\$327.24	
Crypto Money Movement		Margin	COIN	11/16/2021				\$317.35
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/15/2021	877	\$1.14	\$999.43	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/15/2021	70	\$1.13	\$79.10	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/15/2021	209	\$4.78	\$998.73	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/15/2021	216	\$4.63	\$1,000.08	
DKNG 11/19/2021 Call \$50.00	DKNG	Margin	STC	11/17/2021	20	\$0.01		\$19.95
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/16/2021	909	\$1.10	\$999.90	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/16/2021	42	\$1.10	\$46.13	

## Account Activity

Description	Symbol	AcctType	Transaction	Date	Qty	Price	Debit	Credit
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/16/2021	2	\$1.10	\$2.19	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/16/2021	228	\$4.39	\$1,000.92	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/16/2021	225	\$4.44	\$999.00	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/16/2021	229	\$4.40	\$1,007.44	
Meta Materials CUSIP: 59134N104	MMAT	Margin	Buy	11/16/2021	219	\$4.31	\$943.69	
ACH Deposit		Margin	ACH	11/19/2021				\$75.00
ACAT OUT control_num = 20213230029164, firm_id = 0158, acct_num = 5ND69027		Margin	ACATO	11/22/2021			\$0.44	
ContextLogic CUSIP: 21077C107		Margin	ACATO	11/22/2021	713S			
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/18/2021	325	\$1.03	\$334.56	
Evolve Transition Infrastructure CUSIP: 30053M104	SNMP	Margin	Buy	11/18/2021	3	\$1.04	\$3.12	
Fubo TV CUSIP: 35963D104		Margin	ACATO	11/22/2021	60S			
Iterum Therapeutics CUSIP: G6333L101		Margin	ACATO	11/22/2021	13,209S			
Meta Materials CUSIP: 59134N104		Margin	ACATO	11/22/2021	1,634S			
Sundial Growers CUSIP: 86730L109		Margin	ACATO	11/22/2021	2,439S			
Tesla CUSIP: 88160R101		Margin	ACATO	11/22/2021	15S			

**Account Activity**

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Transaction Fee		Margin	FEE	11/22/2021			\$75.00	
<b>Total Funds Paid and Received</b>							<b>\$24,196.97</b>	<b>\$21,200.05</b>

**Executed Trades Pending Settlement**

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
<b>Total Executed Trades Pending Settlement</b>							<b>\$0.00</b>	<b>\$0.00</b>

## Important Information

Robinhood Securities, LLC ("RHS") carries your account as the clearing broker by arrangement with your introducing broker-dealer, Robinhood Financial LLC ("RHF"). If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on debit balances in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 1st day of the month to the last day of the month. The interest is based on the average daily balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the new debit balance.

We are required to report to the Internal Revenue Service all cash dividends and interest credited to your account on securities held for you in our name. All dividends and interest credits should be included in your income tax return.

Information relative to fees and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of the information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from amongst all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise Robinhood of any material changes concerning your investment objectives or financial situation by updating your information using the Robinhood platform or by contacting [help@robinhood.com](mailto:help@robinhood.com).

Our financial statement is available for your personal inspection; it can also be emailed to you upon request.

RHS is a Member of SIPC, which protects securities customers of its members up to \$500,000 (including \$250,000 for claims for cash). Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

Any free credit balances represent funds payable upon demand which, although properly accounted for on our books and records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

### Notice to Customers

RHS acts as clearing agent for your trades. Your account, which was introduced to us by RHF, is established under your name on a "fully disclosed" basis at RHS. You remain a customer of RHF.

As required, under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

As a clearing agent, we provide securities clearance and may provide order execution based on RHF instructions. RHS will not be involved with or have any responsibility for decisions regarding securities transactions in your account. RHF will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders and any instructions regarding the deposit or withdrawal of securities or monies should be made through RHF.

In addition to the above mentioned services, RHS will provide cashing services, safeguarding of funds and securities while in our possession, monitoring compliance with applicable credit Regulation T and RHS internal policies, preparing and making accessible your account records (including transaction confirmations and periodic statements of your account).

The dividend totals reflected in the Income and Expense Summary are inclusive of both taxable and non-taxable dividends.

Interest charges to your account may be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charges to customers, consult the RHF Fee Schedule, available at <https://rbnhd.co/fees>.

We also offer Robinhood Cash Management as an additional feature of your account. Robinhood Cash Management includes debit card access to your account and automatic sweep of uninvested cash to bank deposits. If you participate in Robinhood Cash Management, your use of the debit card, and your rights with respect to debit card transactions, will be governed by the Robinhood Debit Card Agreement, which has been provided to you and is available at <https://rbnhd.co/debit-card-agreement>.

In case of errors or questions about your electronic transfers, including your debit card transactions, or if you think your statement or receipt is wrong or if you need more information about a transaction listed on the statement or receipt, email Robinhood at [help@robinhood.com](mailto:help@robinhood.com). Robinhood must hear from you no later than sixty (60) days after you were sent the FIRST statement on which the problem or error appeared.

- A. Tell Robinhood your name and account number.
- B. Describe the error or the transfer you are unsure about, and explain as clearly as you can why you believe it is an error or why you need more information.
- C. Tell Robinhood the dollar amount of the suspected error.

Robinhood will investigate your complaint and will correct any error promptly. If we take more than ten (10) business days to do this, we will credit your account for the amount you think is in error, so that you will have the use of the money during the time it takes Robinhood to complete our investigation.

If you participate in Robinhood Cash Management, your uninvested cash is swept into accounts at FDIC-insured program banks, where your uninvested cash will earn interest from the program banks and be eligible for FDIC insurance up to applicable limits, subject to FDIC rules. Please see the Robinhood Securities, LLC & Robinhood Financial LLC Insured Network Deposit Sweep Program Disclosures, available at <https://rbnhd.co/ind-disclosure>, for the terms and conditions of this sweep program, including information regarding FDIC insurance coverage.

RHF and RHS are members of the Financial Industry Regulatory Authority, Inc. ("FINRA"), and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or via their website [www.finra.org](http://www.finra.org). RHS carries your account and acts as your custodian for funds and securities deposited with us directly by you, through RHF as a result of transactions we process to your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to RHF. In order to protect your rights, please confirm any oral communications in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to: [help@robinhood.com](mailto:help@robinhood.com).

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealers relationship with such venue. In addition, the Rule (SEC 606) requires broker-dealers to disclose, upon customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact RHF.

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*February 1, 2022 - February 28, 2022*

PAGE 1 OF 10

ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

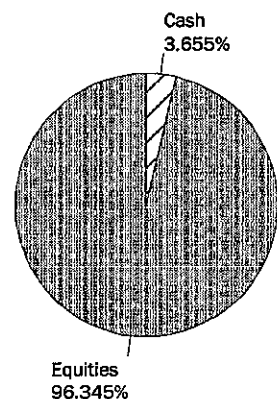
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$2,016.53	\$1,013.63
NET ACCOUNT BALANCE	2,016.53	1,013.63
Securities	25,046.44	26,717.43
TOTAL PRICED PORTFOLIO	25,046.44	26,717.43
<b>Total Equity Holdings</b>	<b>\$27,062.97</b>	<b>\$27,731.06</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

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**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth In Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or per value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*February 1, 2022 - February 28, 2022*

PAGE 2 OF 10

ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$7.36	\$14.72	\$13.66	8%		.053%
BIONANO GENOMICS INC COMMON STOCK	BNGO	C	12	2.14	25.68	26.64	-4		.093
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	2.37	1,689.81	1,889.45	-11		6.094
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY INT	SNMP	C	5	0.607	3.04	2.20	38		.011
FUBOTV INC COMMON STOCK	FUBO	C	60	8.55	513.00	644.40	-20		1.850
META MATLS INC COMMON STOCK	MMAT	C	637	2.15	1,369.55	2,728.78	-50		4.939
TESLA INC COMMON STOCK	TSLA	C	15	870.43	13,056.45	14,050.80	-7		47.082
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	13,209	0.399	5,270.39	4,525.40	16		19.005
META MATLS INC COMMON STOCK	MMAT	O	1,634	2.15	3,513.10		N/A		12.668

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February 1, 2022 - February 28, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► PORTFOLIO SUMMARY (CONTINUED)

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS (continued)</b>									
SUNDIAL GROWERS INC COM	SN DL	O	2,439	0.517	1,261.69	1,165.11	8		4.550
<b>Total Equities</b>					<b>\$26,717.43</b>				<b>96.345%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,013.63</b>				<b>3.655%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$27,731.06</b>				

## ► ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	02/28/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	637	\$1.5799	\$1,006.40	
<b>Total Buy / Sell Transactions</b>						<b>\$1,006.40</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	02/11/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Jan2022 REBATE Security Number: 8S87337				\$3.50
<b>Total Dividends And Interest</b>							<b>\$3.50</b>

I N D I V I D U A L A C C O U N T

*February 1, 2022 - February 28, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	02/11/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(149473163) CUSIP: 59134N104	1,634			
JOURNAL	02/14/22	C	META MATLS INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(150078387) CUSIP: 59134N104	1,634			
JOURNAL	02/25/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(152828065) CUSIP: 59134N104	1,634			
JOURNAL	02/11/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(149473163) CUSIP: 59134N104	-1,634			
JOURNAL	02/14/22	O	META MATLS INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(150078387) CUSIP: 59134N104	-1,634			

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*February 1, 2022 - February 28, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	02/25/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(152828065) CUSIP: 59134N104	-1,634			
<b>Total Securities Received And Delivered</b>							

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February 1, 2022 - February 28, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

► ANNOUNCEMENTS

**IMPORTANT INFORMATION**

**Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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*February 1, 2022 - February 28, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

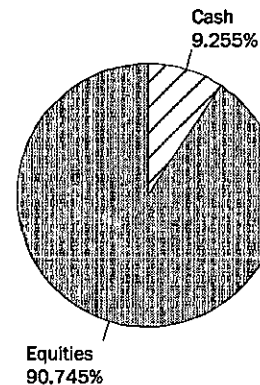
## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1,013.63	\$3,005.08
NET ACCOUNT BALANCE	1,013.63	3,005.08
Securities	26,717.43	29,465.72
TOTAL PRICED PORTFOLIO	26,717.43	29,465.72
<b>Total Equity Holdings</b>	<b>\$27,731.06</b>	<b>\$32,470.80</b>

## INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Taxable dividends	\$0.05	\$0.05
Foreign tax paid	\$-0.01	\$-0.01

## PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

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## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selected form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held. If available from quotation services, the rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Canceled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$8.42	\$16.84	\$14.72	14%		.052%
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	2.25	1,604.25	1,689.81	-5		4.941
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.521	2.61	3.04	-14		.008
FUBOTV INC COMMON STOCK	FUBO	C	60	6.57	394.20	513.00	-23		1.214
TESLA INC COMMON STOCK	TSLA	C	15	1,077.60	16,164.00	13,056.45	24		49.780
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	2.58	30.96		N/A		.095
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	13,209	0.355	4,689.20	5,270.39	-11		14.441
META MATLS INC COMMON STOCK	MMAT	O	2,908	1.67	4,856.36	3,513.10	38		14.956
SUNDIAL GROWERS INC COM	SNDL	O	2,439	0.70	1,707.30	1,261.69	35		5.258
<b>Total Equities</b>					<b>\$29,465.72</b>				<b>90.745%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$3,005.08</b>				<b>9.255%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$32,470.80</b>				

*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	03/07/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	637	\$1.59	\$1,012.83	
<b>Total Buy / Sell Transactions</b>						<b>\$1,012.83</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	03/11/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Feb2022 REBATE Security Number: 8S87337				\$4.24
DIVIDEND	03/31/22	C	ALAMOS GOLD INC COM CL A CASH DIV ON 2 SHS REC 03/17/22 PAY 03/31/22 FOREIGN TAX WITHHELD CUSIP: 011532108		0.025 WH	0.01	0.05
<b>Total Dividends And Interest</b>						<b>\$0.01</b>	<b>\$4.29</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	03/14/22	C	ACH DEPOSIT SEN(20220314340931)				\$2,000.00
ACH	03/15/22	C	ACH DEPOSIT SEN(20220315120368)				1,000.00
<b>Total Funds Paid And Received</b>							<b>\$3,000.00</b>

I N D I V I D U A L A C C O U N T

*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	03/01/22	0	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(153165698) CUSIP: 59134N104	637			
JOURNAL	03/08/22	0	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(154271557) CUSIP: 59134N104	637			
JOURNAL	03/09/22	0	BIONANO GENOMICS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(154537157) CUSIP: 09075F107	12			
JOURNAL	03/15/22	0	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(155337930) CUSIP: 21077C107	713			
JOURNAL	03/16/22	C	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(155536836) CUSIP: 21077C107	713			
JOURNAL	03/21/22	0	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT TO TYPE 7 FROM TYPE 1 FFS(156412895) CUSIP: 30053M104	5			

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	03/29/22	C	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY INT TO TYPE 1 FROM TYPE 7 FFS(158098303) CUSIP: 30053M104	5			
JOURNAL	03/01/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(153165698) CUSIP: 59134N104	-637			
JOURNAL	03/08/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(154271557) CUSIP: 59134N104	-637			
JOURNAL	03/09/22	C	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(154537157) CUSIP: 09075F107	-12			
JOURNAL	03/15/22	C	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(155337930) CUSIP: 21077C107	-713			
JOURNAL	03/16/22	O	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(155536836) CUSIP: 21077C107	-713			

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*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	03/21/22	C	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT FROM TYPE 1 TO TYPE 7 FFS(156412895) CUSIP: 30053M104	-5			
JOURNAL	03/29/22	O	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT FROM TYPE 7 TO TYPE 1 FFS(158098303) CUSIP: 30053M104	-5			
<b>Total Securities Received And Delivered</b>							

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*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**▶ ANNOUNCEMENTS****IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*March 1, 2022 - March 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009. SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders." In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**DEREK HUY HUY VU**► **ANNOUNCEMENTS (CONTINUED)**

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- **Anti-Money Laundering** - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- **Privacy Policy** - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- **Margin Disclosure Statement: FINRA Rule 2264** - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- **Day-Trading Risk Disclosure Statement: FINRA Rule 2270** - Information to be considered before engaging in a day-trading strategy.
- **Business Continuity Plan: FINRA Rule 4370** - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- **SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information)** - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- **SEC Rule 10b-10** - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- **SIPC Information: FINRA Rule 2266** - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- **Investor Education and Protection: FINRA Rule 2267** - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- **Joint NASD Industry Breakpoint Task Force** - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- **Carrying Agreements: FINRA Rule 4311** - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- **Extended Hours Trading Risk Disclosure: FINRA Rule 2265** - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- **Lien and Levies** - Apex will abide by the directions of federal, state, or other levying authorities.
- **Regulation E** - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- **Municipal Securities Rulemaking Board ("MSRB") Rule G-10** requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

March 1, 2022 - March 31, 2022

PAGE 11 OF 11

ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*April 1, 2022 - April 30, 2022*

PAGE 1 OF 11

ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

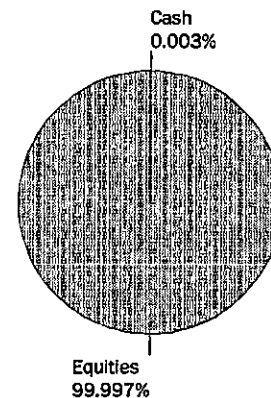
## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$3,005.08	\$0.80
NET ACCOUNT BALANCE	3,005.08	0.80
Securities	29,465.72	27,099.95
TOTAL PRICED PORTFOLIO	29,465.72	27,099.95
<b>Total Equity Holdings</b>	<b>\$32,470.80</b>	<b>\$27,100.75</b>

## ▶ INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Taxable dividends	\$0.00	\$0.05
Foreign tax paid	\$0.00	\$-0.01

## ▶ PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

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## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-6300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth In Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and Q=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$7.76	\$15.52	\$16.84	-8%		.057%
BIONANO GENOMICS INC COMMON STOCK	BNGO	C	12	1.63	19.56		N/A		.072
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	1.70	1,212.10	1,604.25	-24		4.473
FUBOTV INC COMMON STOCK	FUBO	C	60	3.79	227.40	394.20	-42		.839
TESLA INC COMMON STOCK	TSLA	C	15	870.76	13,061.40	16,164.00	-19		48.196
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY INT	SNMP	O	5	0.533	2.66		N/A		.010
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	13,209	0.254	3,352.44	4,689.20	-29		12.370
META MATLS INC COMMON STOCK	MMAT	O	6,720	1.20	8,064.00	4,856.36	66		29.756
SUNDIAL GROWERS INC COM	SNDL	O	2,439	0.470	1,144.87	1,707.30	-33		4.224
<b>Total Equities</b>					<b>\$27,099.95</b>				<b>99.997%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$0.80</b>				<b>0.003%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$27,100.75</b>				

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	04/13/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	674	\$1.48	\$997.52	
BOUGHT	04/25/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	757	1.3284	1,005.60	
BOUGHT	04/25/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	787	1.28	1,007.36	
BOUGHT	04/28/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	794	1.26	1,000.44	
BOUGHT	04/28/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	800	1.25	1,000.00	
<b>Total Buy / Sell Transactions</b>						<b>\$5,010.92</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	04/14/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Mar2022 REBATE Security Number: 8S87337				\$6.64
<b>Total Dividends And Interest</b>							<b>\$6.64</b>

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>FUNDS PAID AND RECEIVED</b>							
ACH	04/21/22	C	ACH DEPOSIT SEN(20220421341619)				\$2,000.00
<b>Total Funds Paid And Received</b>							<b>\$2,000.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	04/07/22	O	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT TO TYPE 7 FROM TYPE 1 FFS(159815288) CUSIP: 30053M104	5			
JOURNAL	04/14/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(160917313) CUSIP: 59134N104	674			
JOURNAL	04/21/22	C	BIONANO GENOMICS INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(161851582) CUSIP: 09075F107	12			
JOURNAL	04/26/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(162360051) CUSIP: 59134N104	1,544			

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	04/29/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(163032104) CUSIP: 59134N104	1,594			
JOURNAL	04/07/22	C	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT FROM TYPE 1 TO TYPE 7 FFS(159815288) CUSIP: 30053M104	-5			
JOURNAL	04/14/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(160917313) CUSIP: 59134N104	-674			
JOURNAL	04/21/22	O	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(161851582) CUSIP: 09075F107	-12			
JOURNAL	04/26/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(162360051) CUSIP: 59134N104	-1,544			

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*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	04/29/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(163032104) CUSIP: 59134N104	-1,594			
<b>Total Securities Received And Delivered</b>							

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*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011

- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:

- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider Include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

*April 1, 2022 - April 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**  
44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

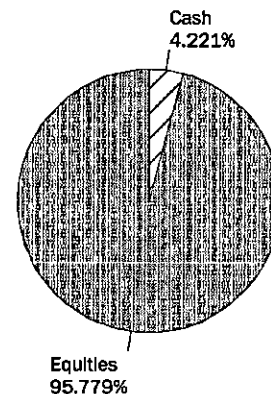
## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1,007.98	\$1,000.90
NET ACCOUNT BALANCE	1,007.98	1,000.90
Securities	29,762.02	22,710.36
TOTAL PRICED PORTFOLIO	29,762.02	22,710.36
<b>Total Equity Holdings</b>	<b>\$30,770.00</b>	<b>\$23,711.26</b>

## INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Taxable dividends	\$0.00	\$0.05
Foreign tax paid	\$0.00	\$-0.01

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**  
MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

June 1, 2022 - June 30, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$7.02	\$14.04	\$14.94	-6%		.059%
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	1.60	1,140.80	1,254.88	-9		4.811
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.417	2.09		N/A		.009
TESLA INC COMMON STOCK	TSLA	C	15	673.42	10,101.30	11,373.90	-11		42.601
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	1.38	16.56	20.76	-20		.070
FUBOTV INC COMMON STOCK	FUBO	O	60	2.47	148.20	197.40	-25		.625
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	13,209	0.20	2,644.44	3,038.07	-13		11.153
META MATLS INC COMMON STOCK	MMAT	O	7,619	1.03	7,847.57	12,902.40	-39		33.096
SUNDIAL GROWERS INC COM	SNDL	O	2,439	0.326	795.36	956.82	-17		3.354
<b>Total Equities</b>					<b>\$22,710.36</b>				<b>95.779%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,000.90</b>				<b>4.221%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$23,711.26</b>				

*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	06/29/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	899	\$1.1699	\$1,051.74	
<b>Total Buy / Sell Transactions</b>						<b>\$1,051.74</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	06/14/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 May2022 REBATE Security Number: 8S87337				\$44.66
<b>Total Dividends And Interest</b>							<b>\$44.66</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	06/30/22	C	ACH DEPOSIT SEN(20220630133461)				\$1,000.00
<b>Total Funds Paid And Received</b>							<b>\$1,000.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	06/02/22	C	FUBOTV INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(168640808) CUSIP: 35953D104	60			

I N D I V I D U A L A C C O U N T

*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	06/14/22	C	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESNTNG CL B LIMITD LIABILITY COMPANY INT TO TYPE 1 FROM TYPE 7 FFS(170290478) CUSIP: 30053M104	5			
JOURNAL	06/14/22	O	FUBOTV INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(170378049) CUSIP: 35953D104	60			
JOURNAL	06/16/22	C	FUBOTV INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(170914761) CUSIP: 35953D104	60			
JOURNAL	06/21/22	O	FUBOTV INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(171531995) CUSIP: 35953D104	60			
JOURNAL	06/29/22	O	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(173470302) CUSIP: 21077C107	713			
JOURNAL	06/30/22	C	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(173626440) CUSIP: 21077C107	713			

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*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	06/30/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(173635583) CUSIP: 59134N104	899			
JOURNAL	06/02/22	O	FUBOTV INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(168640808) CUSIP: 35953D104	-60			
JOURNAL	06/14/22	C	FUBOTV INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(170378049) CUSIP: 35953D104	-60			
JOURNAL	06/14/22	O	EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY INT FROM TYPE 7 TO TYPE 1 FFS(170290478) CUSIP: 30053M104	-5			
JOURNAL	06/16/22	O	FUBOTV INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(170914761) CUSIP: 35953D104	-60			
JOURNAL	06/21/22	C	FUBOTV INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(171531995) CUSIP: 35953D104	-60			

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*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	06/29/22	C	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(173470302) CUSIP: 21077C107	-713			
JOURNAL	06/30/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(173635583) CUSIP: 59134N104	-899			
JOURNAL	06/30/22	O	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(173626440) CUSIP: 21077C107	-713			

**Total Securities Received And Delivered**I  
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June 1, 2022 - June 30, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS

## IMPORTANT INFORMATION

**Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

## IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing. <https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.

- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:

- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at [apexclearing.com/disclosures/](http://apexclearing.com/disclosures/)

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

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*June 1, 2022 - June 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- **Anti-Money Laundering** - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- **Privacy Policy** - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- **Margin Disclosure Statement: FINRA Rule 2264** - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- **Day-Trading Risk Disclosure Statement: FINRA Rule 2270** - Information to be considered before engaging in a day-trading strategy.
- **Business Continuity Plan: FINRA Rule 4370** - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- **SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information)** - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- **SEC Rule 10b-10** - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- **SIPC Information: FINRA Rule 2266** - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- **Investor Education and Protection: FINRA Rule 2267** - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- **Joint NASD Industry Breakpoint Task Force** - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- **Carrying Agreements: FINRA Rule 4311** - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- **Extended Hours Trading Risk Disclosure: FINRA Rule 2265** - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- **Liens and Levies** - Apex will abide by the directions of federal, state, or other levying authorities.
- **Regulation E** - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- **Municipal Securities Rulemaking Board ("MSRB") Rule G-10** requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange

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customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

I N D I V I D U A L A C C O U N T

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

I N D I V I D U A L A C C O U N T

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

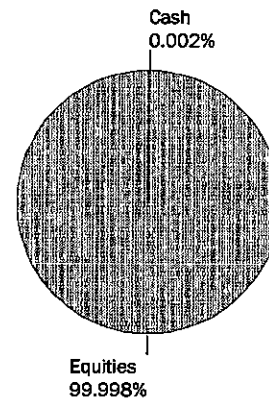
## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1,000.90	\$0.69
NET ACCOUNT BALANCE	1,000.90	0.69
Securities	22,710.36	27,836.28
TOTAL PRICED PORTFOLIO	22,710.36	27,836.28
<b>Total Equity Holdings</b>	<b>\$23,711.26</b>	<b>\$27,836.97</b>

## ▶ INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Taxable dividends	\$0.05	\$0.10
Foreign tax paid	\$-0.01	\$-0.02

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects from among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

July 1, 2022 - July 31, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$7.89	\$15.78	\$14.04	12%		.057%
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	1.50	1,069.50	1,140.80	-6		3.842
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.42	2.10	2.09	<1		.008
TESLA INC COMMON STOCK	TSLA	C	15	891.45	13,371.75	10,101.30	32		48.036
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	1.86	22.32	16.56	35		.080
FUBOTV INC COMMON STOCK	FUBO	O	60	2.51	150.60	148.20	2		.541
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	13,209	0.22	2,905.98	2,644.44	10		10.439
META MATLS INC COMMON STOCK	MMAT	O	10,835	0.90	9,751.50	7,847.57	24		35.031
SNDL INC COM	SNDL	O	243	2.25	546.75		N/A		1.964
<b>Total Equities</b>					<b>\$27,836.28</b>				<b>99.998%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$0.69</b>				<b>0.002%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$27,836.97</b>				

July 1, 2022 - July 31, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	07/13/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1	\$1,000.00	
BOUGHT	07/20/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	597	0.95	567.15	
BOUGHT	07/26/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	539	0.929	500.73	
BOUGHT	07/26/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,080	0.925	999.00	
<b>Total Buy / Sell Transactions</b>						<b>\$3,066.88</b>	
<b>DIVIDENDS AND INTEREST</b>							
DIVIDEND	07/01/22	C	ALAMOS GOLD INC COM CL A CASH DIV ON 2 SHS REC 06/16/22 PAY 06/30/22 FOREIGN TAX WITHHELD CUSIP: 011532108		\$0.025 WH	0.01	\$0.05
INTEREST	07/14/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Jun2022 REBATE Security Number: 8S87337				66.63
<b>Total Dividends And Interest</b>						<b>\$0.01</b>	<b>\$66.68</b>

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>FUNDS PAID AND RECEIVED</b>							
ACH	07/13/22	C	ACH DEPOSIT SEN(20220713079362)				\$1,000.00
ACH	07/18/22	C	ACH DEPOSIT SEN(20220717020262)				1,000.00
<b>Total Funds Paid And Received</b>							<b>\$2,000.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	07/14/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(175725787) CUSIP: 59134N104	1,000			
JOURNAL	07/19/22	C	BIONANO GENOMICS INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(176242140) CUSIP: 09075F107	12			
JOURNAL	07/21/22	O	BIONANO GENOMICS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(176664751) CUSIP: 09075F107	12			
JOURNAL	07/21/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(176597950) CUSIP: 59134N104	597			

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	07/27/22	C	SNDL INC COM TO TYPE 1 FROM TYPE 7 FFS(177456173) CUSIP: 83307B101	243			
JOURNAL	07/27/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(177472537) CUSIP: 59134N104	1,619			
JOURNAL	07/29/22	O	SNDL INC COM TO TYPE 7 FROM TYPE 1 FFS(178053626) CUSIP: 83307B101	243			
JOURNAL	07/14/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(175725787) CUSIP: 59134N104	-1,000			
JOURNAL	07/19/22	O	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(176242140) CUSIP: 09075F107	-12			
JOURNAL	07/21/22	C	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(176664751) CUSIP: 09075F107	-12			

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*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	07/21/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(176597950) CUSIP: 59134N104	-597			
JOURNAL	07/27/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(177472537) CUSIP: 59134N104	-1,619			
JOURNAL	07/27/22	O	SNDL INC COM FROM TYPE 7 TO TYPE 1 FFS(177456173) CUSIP: 83307B101	-243			
JOURNAL	07/29/22	C	SNDL INC COM FROM TYPE 1 TO TYPE 7 FFS(178053626) CUSIP: 83307B101	-243			

**Total Securities Received And Delivered****MISCELLANEOUS TRANSACTIONS**

REV SPLIT	07/25/22	O	SNDL INC COM REVERSE SPLIT @ 1:10 FROM 86730L109 TO 83307B101 RESULT OF REVERSE SPLIT CUSIP: 83307B101	243			
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*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**DEREK HUY HUY VU**

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b> (continued)							
REV SPLIT	07/25/22	0	SUNDIAL GROWERS INC COM REVERSE SPLIT @ 1:10 FROM 86730L109 TO 83307B101 CUSIP: 86730L109	-2,439			
<b>Total Miscellaneous Transactions</b>							

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July 1, 2022 - July 31, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

► ANNOUNCEMENTS

**IMPORTANT INFORMATION**

**Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at [apexclearing.com/disclosures/](http://apexclearing.com/disclosures/)

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve

*July 1, 2022 - July 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

System.

- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of

I N D I V I D U A L A C C O U N T

July 1, 2022 - July 31, 2022

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

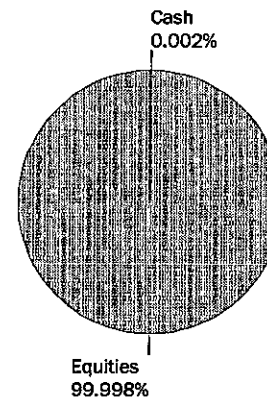
## ACCOUNT SUMMARY

	<u>OPENING BALANCE</u>	<u>CLOSING BALANCE</u>
Cash account	\$0.69	\$0.44
NET ACCOUNT BALANCE	0.69	0.44
Securities	27,836.28	27,012.48
TOTAL PRICED PORTFOLIO	27,836.28	27,012.48
<b>Total Equity Holdings</b>	<b>\$27,836.97</b>	<b>\$27,012.92</b>

## INCOME AND EXPENSE SUMMARY

	<u>THIS PERIOD</u>	<u>YEAR TO DATE</u>
Taxable dividends	\$0.00	\$0.10
Foreign tax paid	\$0.00	\$-0.02

## PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

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**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashiering services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$7.19	\$14.38	\$15.78	-9%		.053%
BIONANO GENOMICS INC COMMON STOCK	BNGO	C	12	2.48	29.76		N/A		.110
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	1.30	926.90	1,069.50	-13		3.431
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTING CL B LIMITED LIABILITY COMPANY INT	SNMP	C	5	0.364	1.82	2.10	-13		.007
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	C	880	2.64	2,323.20		N/A		8.600
TESLA INC COMMON STOCK	TSLA	C	45	275.61	12,402.45	13,371.75	-7		45.913
FUBOTV INC COMMON STOCK	FUBO	O	60	3.62	217.20	150.60	44		.804
META MATLS INC COMMON STOCK	MMAT	O	12,028	0.865	10,404.22	9,751.50	7		38.516
SNDL INC COM	SNDL	O	243	2.85	692.55	546.75	27		2.564
<b>Total Equities</b>					<b>\$27,012.48</b>				<b>99.998%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$0.44</b>				<b>0.002%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$27,012.92</b>				

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	08/05/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	565	\$0.885	\$500.03	
BOUGHT	08/23/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	628	0.8624	541.59	
BOUGHT	08/29/22	C	TESLA INC COMMON STOCK STK SPLIT ON 15 SHS REC 08/17/22 PAY 08/24/22 CUSIP: 88160R101	30			
<b>Total Buy / Sell Transactions</b>						<b>\$1,041.62</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	08/12/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Jul2022 REBATE Security Number: 8S87337				\$39.08
<b>Total Dividends And Interest</b>							<b>\$39.08</b>
<b>FUNDS PAID AND RECEIVED</b>							
JOURNAL	08/08/22	O	XFER CASH FROM FFS			\$2.29	
ACH	08/01/22	C	ACH DEPOSIT SEN(20220801270693)				1,000.00
JOURNAL	08/08/22	C	XFER FFS TO CASH				2.29
<b>Total Funds Paid And Received</b>						<b>\$2.29</b>	<b>\$1,002.29</b>

I N D I V I D U A L A C C O U N T

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	08/01/22	C	ITERUM THERAPEUTICS PLC ORDINARY SHARE TO TYPE 1 FROM TYPE 7 FFS(178267646) CUSIP: G6333L101	13,209			
JOURNAL	08/03/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE TO TYPE 7 FROM TYPE 1 FFS(178722455) CUSIP: G6333L101	7,594			
JOURNAL	08/04/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE TO TYPE 7 FROM TYPE 1 FFS(178909311) CUSIP: G6333L101	5,615			
JOURNAL	08/08/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(179270862) CUSIP: 59134N104	565			
JOURNAL	08/12/22	C	BIONANO GENOMICS INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(180058809) CUSIP: 09075F107	12			
JOURNAL	08/19/22	C	ITERUM THERAPEUTICS PLC ORDINARY SHARE TO TYPE 1 FROM TYPE 7 FFS(181156407) CUSIP: G6333L200	880			

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	08/24/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(181849033) CUSIP: 59134N104	628			
JOURNAL	08/01/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE FROM TYPE 7 TO TYPE 1 FFS(178267646) CUSIP: G6333L101	-13,209			
JOURNAL	08/03/22	C	ITERUM THERAPEUTICS PLC ORDINARY SHARE FROM TYPE 1 TO TYPE 7 FFS(178722455) CUSIP: G6333L101	-7,594			
JOURNAL	08/04/22	C	ITERUM THERAPEUTICS PLC ORDINARY SHARE FROM TYPE 1 TO TYPE 7 FFS(178909311) CUSIP: G6333L101	-5,615			
JOURNAL	08/08/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(179270862) CUSIP: 59134N104	-565			
JOURNAL	08/12/22	O	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(180058809) CUSIP: 09075F107	-12			

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*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	08/19/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE FROM TYPE 7 TO TYPE 1 FFS(181156407) CUSIP: G6333L200	-880			
JOURNAL	08/24/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(181849033) CUSIP: 59134N104	-628			
<b>Total Securities Received And Delivered</b>							
<b>MISCELLANEOUS TRANSACTIONS</b>							
CASH-LIEU	08/05/22	O	SNDL INC COM CIL ON 0.90000@ 2.53903 CUSIP: 83307B101				\$2.29
REV SPLIT	08/18/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE REVERSE SPLIT @ 1:15 FROM G6333L101 TO G6333L200 RESULT OF REVERSE SPLIT CUSIP: G6333L200	880			
REV SPLIT	08/18/22	O	ITERUM THERAPEUTICS PLC ORDINARY SHARE REVERSE SPLIT @ 1:15 FROM G6333L101 TO G6333L200 CUSIP: G6333L101	-13,209			
<b>Total Miscellaneous Transactions</b>							<b>\$2.29</b>

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*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011

- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:

- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**NOTE:** Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at <https://apexfintechsolutions.com/legal/disclosures/>

**Addition of Customers Bank and SoFi Bank N.A.**

We have added Customers Bank and SoFi Bank N.A. to the FDIC-insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or around August 31, 2022. If you have any questions or would like to exclude either bank from receiving your excess cash balance, please reach out to your broker. You are not required to take any action.

*August 1, 2022 - August 31, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

**DEREK HUY HUY VU**► **ANNOUNCEMENTS (CONTINUED)****FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.

*August 1, 2022 - August 31, 2022*

PAGE 10 OF 11

ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

► **ANNOUNCEMENTS (CONTINUED)**

- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm

*August 1, 2022 - August 31, 2022*

PAGE 11 OF 11

ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

I N D I V I D U A L A C C O U N T

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*November 1, 2022 - November 30, 2022*

PAGE 1 OF 10

ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

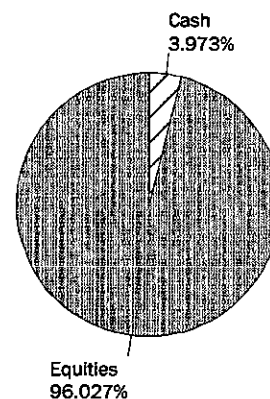
## ▶ ACCOUNT SUMMARY

	<u>OPENING BALANCE</u>	<u>CLOSING BALANCE</u>
Cash account	\$22.21	\$1,508.44
NET ACCOUNT BALANCE	22.21	1,508.44
Securities	25,897.06	36,460.59
TOTAL PRICED PORTFOLIO	25,897.06	36,460.59
<b>Total Equity Holdings</b>	<b>\$25,919.27</b>	<b>\$37,969.03</b>

## ▶ INCOME AND EXPENSE SUMMARY

	<u>THIS PERIOD</u>	<u>YEAR TO DATE</u>
Taxable dividends	\$0.00	\$0.15
Foreign tax paid	\$0.00	\$-0.03

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notices which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9969 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**  
Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**  
Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**  
The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**  
Lists all securities held in your account.

**MARKET VALUE:**  
This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank. Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**  
The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**  
Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**  
Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C= Cash, M= Margin, I= Income, L= Legal, S= Short, X= RVP/DVP, and O= Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**  
Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**  
**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

November 1, 2022 - November 30, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

► PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
ALAMOS GOLD INC COM CL A	AGI	C	2	\$9.70	\$19.40	\$15.78	23%		.051%
BIONANO GENOMICS INC COMMON STOCK	BNGO	C	12	2.01	24.12	28.08	-14		.064
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	0.734	523.13	558.28	-6		1.378
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITED LIABILITY COMPANY INT	SNMP	C	5	0.162	0.81	1.36	-40		.002
FUBOTV INC COMMON STOCK	FUBO	C	60	2.79	167.40		N/A		.441
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	C	880	1.30	1,144.00	1,487.20	-23		3.013
TESLA INC COMMON STOCK	TSLA	C	45	194.70	8,761.50	10,239.30	-14		23.075
META MATLS INC COMMON STOCK	MMAT	O	13,243	1.90	25,161.70	12,749.68	97		66.269
SNDL INC COM	SNDL	O	243	2.71	658.53	597.78	10		1.734
<b>Total Equities</b>					<b>\$36,460.59</b>				<b>96.027%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,508.44</b>				<b>3.973%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$37,969.03</b>				

*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	11/10/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	15	\$1.4096	\$21.14	
BOUGHT	11/14/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	800	1.25	1,000.00	
BOUGHT	11/15/22	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	1.25	500.00	
<b>Total Buy / Sell Transactions</b>						<b>\$1,521.14</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	11/11/22	C	FULLYPAID LENDING REBATE DUE 12/31/35 Oct2022 REBATE Security Number: 8S87337				\$7.37
<b>Total Dividends And Interest</b>							<b>\$7.37</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	11/07/22	C	ACH DEPOSIT SEN(20221107414066)				\$3,000.00
<b>Total Funds Paid And Received</b>							<b>\$3,000.00</b>

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*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	11/11/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(195226164) CUSIP: 59134N104	15			
JOURNAL	11/15/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(195463177) CUSIP: 59134N104	800			
JOURNAL	11/16/22	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(195677122) CUSIP: 59134N104	400			
JOURNAL	11/21/22	C	FUBOTV INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(196203911) CUSIP: 35953D104	60			
JOURNAL	11/11/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(195226164) CUSIP: 59134N104	-15			
JOURNAL	11/15/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(195463177) CUSIP: 59134N104	-800			

I N D I V I D U A L A C C O U N T

*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	11/16/22	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(195677122) CUSIP: 59134N104	-400			
JOURNAL	11/21/22	O	FUBOTV INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(196203911) CUSIP: 35953D104	-60			
<b>Total Securities Received And Delivered</b>							

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November 1, 2022 - November 30, 2022

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

## IMPORTANT INFORMATION

**Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2022 is available on the website at <https://apexfintechsolutions.com/legal/disclosures/>. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2022, Apex Clearing Corporation had a net capital of \$439,123,327 and was \$404,699,170 in excess of its required net capital of \$34,424,157. As of July 31, 2022, Apex Clearing Corporation had a net capital of \$462,369,497 and was \$429,018,530 in excess of its required net capital of \$33,350,967.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

## IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.  
<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**DEREK HUY HUY VU**► **ANNOUNCEMENTS (CONTINUED)**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009. SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders." In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
  - Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
  - Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)
- Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**NOTE:** Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at <https://apexfintechsolutions.com/legal/disclosures/>

**Addition of Customers Bank and SoFi Bank N.A.**

We have added Customers Bank and SoFi Bank N.A. to the FDIC-Insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or around August

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*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

31, 2022. If you have any questions or would like to exclude either bank from receiving your excess cash balance, please reach out to your broker. You are not required to take any action.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.

*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

**DEREK HUY HUY VU****► ANNOUNCEMENTS (CONTINUED)**

- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

I N D I V I D U A L A C C O U N T

*November 1, 2022 - November 30, 2022*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

I N D I V I D U A L A C C O U N T

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

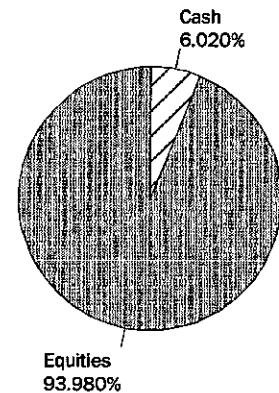
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
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IRVINE CA 92614-5308

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1,683.30	\$1,400.00
NET ACCOUNT BALANCE	1,683.30	1,400.00
Securities	23,641.96	21,857.70
TOTAL PRICED PORTFOLIO	23,641.96	21,857.70
<b>Total Equity Holdings</b>	<b>\$25,325.26</b>	<b>\$23,257.70</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin in interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-293-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**  
Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**  
Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**  
The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**  
Lists all securities held in your account.

**MARKET VALUE:**  
This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	\$0.487	\$347.02	\$490.47	-29%		1.492%
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.25	1.25	1.06	18		.005
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	C	880	1.14	1,003.20	1,223.20	-18		4.313
META MATLS INC COMMON STOCK	MMAT	C	972	0.64	622.08		N/A		2.675
TESLA INC COMMON STOCK	TSLA	C	45	205.71	9,256.95	7,794.90	19		39.802
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	1.34	16.08		N/A		.069
FUBOTV INC COMMON STOCK	FUBO	O	60	1.91	114.60		N/A		.493
META MATLS INC COMMON STOCK	MMAT	O	15,687	0.64	10,039.68	13,375.43	-25		43.167
SNDL INC COM	SNDL	O	243	1.88	456.84		N/A		1.964
<b>Total Equities</b>					<b>\$21,857.70</b>				<b>93.980%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,400.00</b>				<b>6.020%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$23,257.70</b>				

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	02/09/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	\$0.9165	\$183.30	
BOUGHT	02/15/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	250	0.78	195.00	
BOUGHT	02/15/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	406	0.75	304.50	
BOUGHT	02/23/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	331	0.6747	223.33	
BOUGHT	02/23/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	0.6784	339.20	
BOUGHT	02/23/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	657	0.66	433.62	
BOUGHT	02/24/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	0.6639	66.39	
SOLD	02/24/23	C	ALAMOS GOLD INC COM CL A CUSIP: 011532108	2	10.035		20.05
BOUGHT	02/28/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	190	0.6318	120.04	

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*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**DEREK HUY HUY VU**

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/28/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	782	0.6394	500.01	
<b>Total Buy / Sell Transactions</b>						<b>\$2,365.39</b>	<b>\$20.05</b>
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	02/14/23	C	FULLYPAID LENDING REBATE DUE 12/31/35 Jan2023 REBATE Security Number: 8S87337				\$62.04
<b>Total Dividends And Interest</b>							<b>\$62.04</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	02/24/23	C	ACH DEPOSIT SEN(20230224262229)				\$2,000.00
<b>Total Funds Paid And Received</b>							<b>\$2,000.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	02/03/23	O	SNDL INC COM TO TYPE 7 FROM TYPE 1 FFS(205337547) CUSIP: 83307B101	243			

*February 1, 2023 - February 28, 2023*

PAGE 5 OF 12

ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	02/10/23	0	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(206108935) CUSIP: 59134N104	200			
JOURNAL	02/14/23	0	FUBOTV INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(206454567) CUSIP: 35953D104	60			
JOURNAL	02/15/23	C	FUBOTV INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(206627554) CUSIP: 35953D104	60			
JOURNAL	02/16/23	0	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(206794089) CUSIP: 59134N104	656			
JOURNAL	02/22/23	0	FUBOTV INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(207306453) CUSIP: 35953D104	60			
JOURNAL	02/24/23	0	BIONANO GENOMICS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(207664416) CUSIP: 09075F107	12			

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*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	02/24/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(207654273) CUSIP: 59134N104	1,488			
JOURNAL	02/27/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(207751164) CUSIP: 59134N104	100			
JOURNAL	02/03/23	C	SNDL INC COM FROM TYPE 1 TO TYPE 7 FFS(205337547) CUSIP: 83307B101	-243			
JOURNAL	02/10/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(206108935) CUSIP: 59134N104	-200			
JOURNAL	02/14/23	C	FUBOTV INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(206454567) CUSIP: 35953D104	-60			
JOURNAL	02/15/23	O	FUBOTV INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(206627554) CUSIP: 35953D104	-60			

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*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	02/16/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(206794089) CUSIP: 59134N104	-656			
JOURNAL	02/22/23	C	FUBOTV INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(207306453) CUSIP: 35953D104	-60			
JOURNAL	02/24/23	C	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(207664416) CUSIP: 09075F107	-12			
JOURNAL	02/24/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(207654273) CUSIP: 59134N104	-1,488			
JOURNAL	02/27/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(207751164) CUSIP: 59134N104	-100			

**Total Securities Received And Delivered**I  
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*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**► ANNOUNCEMENTS****IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2022 is available on the website at <https://apexfintechsolutions.com/legal/disclosures/>. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2022, Apex Clearing Corporation had a net capital of \$439,123,327 and was \$404,699,170 in excess of its required net capital of \$34,424,157. As of July 31, 2022, Apex Clearing Corporation had a net capital of \$462,369,497 and was \$429,018,530 in excess of its required net capital of \$33,350,967.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.  
<https://www.finra.org/rules-guldance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.  
**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

• Equity securities acquired on or after January 1, 2011

• Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:

• Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at <https://apexfintechsolutions.com/legal/disclosures/>

**Addition of Customers Bank and SoFi Bank N.A.**

We have added Customers Bank and SoFi Bank N.A. to the FDIC-Insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or around August

I N D I V I D U A L A C C O U N T

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

► **ANNOUNCEMENTS (CONTINUED)**

31, 2022. If you have any questions or would like to exclude either bank from receiving your excess cash balance, please reach out to your broker. You are not required to take any action.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.

*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

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*February 1, 2023 - February 28, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

I N D I V I D U A L A C C O U N T

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

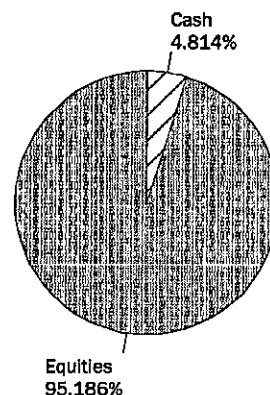
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

## ▶ ACCOUNT SUMMARY

	<u>OPENING BALANCE</u>	<u>CLOSING BALANCE</u>
Cash account	\$1,400.00	\$1,000.13
NET ACCOUNT BALANCE	1,400.00	1,000.13
Securities	21,857.70	19,774.63
TOTAL PRICED PORTFOLIO	21,857.70	19,774.63
<b>Total Equity Holdings</b>	<b>\$23,257.70</b>	<b>\$20,774.76</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	713	\$0.446	\$317.86	\$347.02	-8%		1.530%
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.20	1.00	1.25	-20		.005
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	C	880	1.00	879.91	1,003.20	-12		4.235
TESLA INC COMMON STOCK	TSLA	C	45	207.46	9,335.70	9,256.95	1		44.938
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	1.11	13.32	16.08	-17		.064
FUBOTV INC COMMON STOCK	FUBO	O	60	1.21	72.60	114.60	-37		.349
META MATLS INC COMMON STOCK	MMAT	O	21,505	0.408	8,765.44	10,039.68	-13		42.193
SNDL INC COM	SNDL	O	243	1.60	388.80	456.84	-15		1.872
<b>Total Equities</b>					<b>\$19,774.63</b>				<b>95.186%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,000.13</b>				<b>4.814%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$20,774.76</b>				

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	03/03/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	\$0.60	\$240.00	
BOUGHT	03/13/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	290	0.55	159.50	
BOUGHT	03/13/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	459	0.545	250.16	
BOUGHT	03/13/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	463	0.54	250.02	
BOUGHT	03/20/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	0.4999	249.95	
BOUGHT	03/20/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	534	0.50	267.00	
BOUGHT	03/27/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,063	0.47	499.61	
BOUGHT	03/30/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,137	0.44	500.28	
<b>Total Buy / Sell Transactions</b>						<b>\$2,416.52</b>	

I N D I V I D U A L A C C O U N T

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	03/14/23	C	FULLYPAID LENDING REBATE DUE 12/31/35 Feb2023 REBATE Security Number: 8S87337				\$16.65
<b>Total Dividends And Interest</b>							<b>\$16.65</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	03/09/23	C	ACH DEPOSIT SEN(20230309321191)				\$2,000.00
<b>Total Funds Paid And Received</b>							<b>\$2,000.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	03/01/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(208156740) CUSIP: 59134N104	972			
JOURNAL	03/06/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(208713006) CUSIP: 59134N104	400			
JOURNAL	03/14/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(209849081) CUSIP: 59134N104	1,212			

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*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	03/20/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(210669688) CUSIP: 21077C107	713			
JOURNAL	03/21/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(210887135) CUSIP: 21077C107	713			
JOURNAL	03/21/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(210912852) CUSIP: 59134N104	1,034			
JOURNAL	03/28/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(211995607) CUSIP: 59134N104	1,063			
JOURNAL	03/31/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(212623021) CUSIP: 59134N104	1,137			
JOURNAL	03/01/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(208156740) CUSIP: 59134N104	-972			

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*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	03/06/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(208713006) CUSIP: 59134N104	-400			
JOURNAL	03/14/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(209849081) CUSIP: 59134N104	-1,212			
JOURNAL	03/20/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(210669688) CUSIP: 21077C107	-713			
JOURNAL	03/21/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(210912852) CUSIP: 59134N104	-1,034			
JOURNAL	03/21/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(210887135) CUSIP: 21077C107	-713			
JOURNAL	03/28/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(211995607) CUSIP: 59134N104	-1,063			

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*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	03/31/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(212623021) CUSIP: 59134N104	-1,137			
<b>Total Securities Received And Delivered</b>							

## ► EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	03/30/23	04/03/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	482	\$0.415	\$200.03	

**Total Executed Trades Pending Settlement****\$200.03**I  
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*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ► ANNOUNCEMENTS

### IMPORTANT INFORMATION

For certain Index Options Webull charges a per contract fee, referred to as the Webull Index Option Contract Fee. The Add'l fee column in the trade confirmation is made up of the Webull Index Option Contract Fee, the Proprietary Index Option Fee, and the OCC fee. The Tran Fee in the trade confirmation is an aggregate of the Regulatory Transaction (SEC) Fee, Trading Activity Fee (TAF), and Options Regulatory Fee (ORF).

### IMPORTANT INFORMATION

#### Statement of Financial Condition

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2022 is available on the website at [www.apexfintechsolutions.com/disclosures/](http://www.apexfintechsolutions.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2022, Apex Clearing Corporation had a net capital of \$466,254,287 and was \$439,752,615 in excess of its required net capital of \$26,501,672. As of January 31, 2023, Apex Clearing Corporation had a net capital of \$503,778,156 and was \$479,334,278 in excess of its required net capital of \$24,443,878.

#### Apex's Policy for Dividends and Interest

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

#### Participation in Fully Paid Lending Program

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

#### Information Regarding Cost Basis for Foreign Account Statements

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

### IMPORTANT INFORMATION

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012;
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at <https://apexfintechsolutions.com/legal/disclosures/>

**Addition of Customers Bank and SoFi Bank N.A.**

We have added Customers Bank and SoFi Bank N.A. to the FDIC-Insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or around August 31, 2022. If you have any questions or would like to exclude either bank from receiving your excess cash balance, please reach out to your broker. You are not required to take any action.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.

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T*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****Webull Financial LLC**  
44 Wall Street, New York, NY 10005  
customerservice@webull.us**DEREK HUY HUY VU**► **ANNOUNCEMENTS (CONTINUED)**

- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as Issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

*March 1, 2023 - March 31, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

I N D I V I D U A L A C C O U N T

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

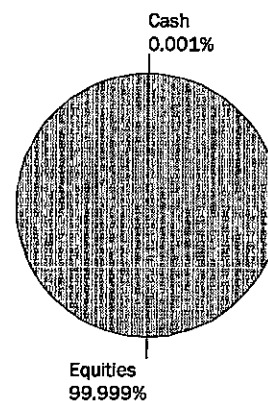
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1,000.13	\$0.15
NET ACCOUNT BALANCE	1,000.13	0.15
Securities	19,774.63	14,243.19
TOTAL PRICED PORTFOLIO	19,774.63	14,243.19
<b>Total Equity Holdings</b>	<b>\$20,774.76</b>	<b>\$14,243.34</b>

## PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

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## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth In Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.

MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CONTEXTLOGIC INC CLASS A COMMON STOCK	WISH	C	24	\$7.21	\$173.04		N/A		1.215%
EVOLVE TRANSITN INFRASTRUCTURE LP COMMON UNITS REPRESENTNG CL B LIMITD LIABILITY COMPANY INT	SNMP	C	5	0.147	0.73	1.00	-27		.005
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	C	880	1.17	1,029.60	879.91	17		7.229
TESLA INC COMMON STOCK	TSLA	C	45	164.31	7,393.95	9,335.70	-21		51.912
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	12	0.688	8.25	13.32	-38		.058
FUBOTV INC COMMON STOCK	FUBO	O	60	1.14	68.40	72.60	-6		.480
META MATLS INC COMMON STOCK	MMAT	O	28,269	0.184	5,207.15	8,765.44	-41		36.558
SNDL INC COM	SNDL	O	243	1.49	362.07	388.80	-7		2.542
<b>Total Equities</b>					<b>\$14,243.19</b>				<b>99.999%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$0.15</b>				<b>0.001%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$14,243.34</b>				

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	04/03/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	482	\$0.415	\$200.03	
BOUGHT	04/10/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	497	0.404	200.79	
BOUGHT	04/13/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	610	0.41	250.10	
BOUGHT	04/14/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	265	0.378	100.17	
BOUGHT	04/17/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	754	0.33	248.82	
BOUGHT	04/18/23	C	META MATLS INC COMMON STOCK CUSIP: 59134N104	4,156	0.22	914.32	
<b>Total Buy / Sell Transactions</b>						<b>\$1,914.23</b>	
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	04/13/23	C	FULLYPAID LENDING REBATE DUE 12/31/35 Mar2023 REBATE Security Number: 8587337				\$14.25
<b>Total Dividends And Interest</b>							<b>\$14.25</b>

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>FUNDS PAID AND RECEIVED</b>							
ACH	04/14/23	C	ACH DEPOSIT SEN(20230414060304)				\$900.00
<b>Total Funds Paid And Received</b>							<b>\$900.00</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	04/04/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(213092281) CUSIP: 59134N104	482			
JOURNAL	04/11/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(214165543) CUSIP: 59134N104	497			
JOURNAL	04/14/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(214881109) CUSIP: 59134N104	610			
JOURNAL	04/17/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(215086344) CUSIP: 59134N104	265			

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	04/18/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(215352539) CUSIP: 59134N104	754			
JOURNAL	04/19/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(215614430) CUSIP: 21077C305	24			
JOURNAL	04/19/23	O	META MATLS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(215543444) CUSIP: 59134N104	4,156			
JOURNAL	04/20/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(215802424) CUSIP: 21077C305	24			
JOURNAL	04/24/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(216328538) CUSIP: 21077C305	24			
JOURNAL	04/25/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(216577365) CUSIP: 21077C305	24			

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	04/04/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(213092281) CUSIP: 59134N104	-482			
JOURNAL	04/11/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(214165543) CUSIP: 59134N104	-497			
JOURNAL	04/14/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(214881109) CUSIP: 59134N104	-610			
JOURNAL	04/17/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(215086344) CUSIP: 59134N104	-265			
JOURNAL	04/18/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(215352539) CUSIP: 59134N104	-754			
JOURNAL	04/19/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(215614430) CUSIP: 21077C305	-24			

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>SECURITIES RECEIVED AND DELIVERED</b> (continued)							
JOURNAL	04/19/23	C	META MATLS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(215543444) CUSIP: 59134N104	-4,156			
JOURNAL	04/20/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(215802424) CUSIP: 21077C305	-24			
JOURNAL	04/24/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(216328538) CUSIP: 21077C305	-24			
JOURNAL	04/25/23	O	CONTEXTLOGIC INC CLASS A COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(216577365) CUSIP: 21077C305	-24			

**Total Securities Received And Delivered****MISCELLANEOUS TRANSACTIONS**

REV SPLIT	04/11/23	C	CONTEXTLOGIC INC CL A NEW REVERSE SPLIT @ 1:30 FROM 21077C107 TO 21077C305 RESULT OF REVERSE SPLIT CUSIP: 21077C305	24			
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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b> (continued)							
REV SPLIT	04/11/23	C	CONTEXTLOGIC INC CLASS A COMMON STOCK REVERSE SPLIT @ 1:30 FROM 21077C107 TO 21077C305 CUSIP: 21077C107	-713			
<b>Total Miscellaneous Transactions</b>							

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*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION**

For certain Index Options Webull charges a per contract fee, referred to as the Webull Index Option Contract Fee. The Add'l fee column in the trade confirmation is made up of the Webull Index Option Contract Fee, the Proprietary Index Option Fee, and the OCC fee. The Tran Fee in the trade confirmation is an aggregate of the Regulatory Transaction (SEC) Fee, Trading Activity Fee (TAF), and Options Regulatory Fee (ORF).

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2022 is available on the website at [www.apexfintechsolutions.com/disclosures/](http://www.apexfintechsolutions.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2022, Apex Clearing Corporation had a net capital of \$466,254,287 and was \$439,752,615 in excess of its required net capital of \$26,501,672. As of January 31, 2023, Apex Clearing Corporation had a net capital of \$503,778,156 and was \$479,334,278 in excess of its required net capital of \$24,443,878.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU**

**Webull Financial LLC**  
 44 Wall Street, New York, NY 10005  
 customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012;
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this Important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. Please note SIPC does not cover commodity contracts and options on futures. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional Insurance policy to supplement SIPC protection. This additional Insurance policy, widely known as \*excess SIPC, becomes available to customers in the event that SIPC limits are exhausted. This additional Insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional Insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks (\*Program Banks) may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the \*Program Bank), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion.

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are Insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC Insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC Insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at <https://apexfintechsolutions.com/legal/disclosures/>

**Coming Soon: Addition of Old National Bank and Flagstar Bank**

We are in the process of adding both Old National Bank and Flagstar Bank to the FDIC-Insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or before June 1, 2023.

**Participating Bank Removal - Signature Bank:**

Effective 3/13/2023, Signature Bank was removed as a participating bank from the FDIC-Insured Deposit Sweep Program. If you have any questions or would like to exclude either bank from receiving your excess cash balance, please reach out to your broker. You are not required to take any action.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

I N D I V I D U A L A C C O U N T

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The Investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

*April 1, 2023 - April 30, 2023*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*November 1, 2024 - November 30, 2024*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**

**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

DEREK HUY HUY VU  
9 AEGEAN  
IRVINE CA 92614-5308

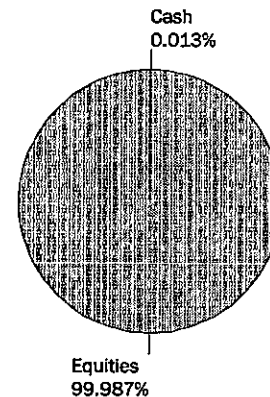
## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Cash account	\$1.20	\$2.38
NET ACCOUNT BALANCE	1.20	2.38
Securities	13,453.87	18,421.55
TOTAL PRICED PORTFOLIO	13,453.87	18,421.55
<b>Total Equity Holdings</b>	<b>\$13,455.07</b>	<b>\$18,423.93</b>

## INCOME AND EXPENSE SUMMARY

	THIS PERIOD	YEAR TO DATE
Taxable dividends	\$0.00	\$0.41

## PORTFOLIO EQUITY ALLOCATION



ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth In Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

November 1, 2024 - November 30, 2024

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CONTEXTLOGIC INC CLASS A COMMON STOCK	LOGC	C	24	\$7.15	\$171.60	\$155.76	10%		.931%
CISCO SYSTEMS INC Estimated Yield = 3.37%	CSCO	C	1	59.21	59.21	54.77	8	2	.321
FUBOTV INC COMMON STOCK	FUBO	C	60	1.61	96.60	104.40	-7		.524
NVIDIA CORP	NVDA	C	1	138.25	138.25	132.76	4		.750
SNDL INC COM	SNDL	C	243	1.93	468.99	505.44	-7		2.546
TESLA INC COMMON STOCK	TSLA	C	45	345.16	15,532.20	11,243.25	38		84.304
BIONANO GENOMICS INC COMMON STOCK	BNGO	O	1	0.256	0.26	0.29	-10		.001
ITERUM THERAPEUTICS PLC ORDINARY SHARE	ITRM	O	959	2.02	1,937.18	1,237.11	57		10.514
META MATERIALS INC COMMON STOCK	MMATQ	O	283	0.061	17.26	20.09	-14		.094
<b>Total Equities</b>					<b>\$18,421.55</b>			<b>\$2</b>	<b>99.987%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$2.38</b>				<b>0.013%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$18,423.93</b>			<b>\$2</b>	

*November 1, 2024 - November 30, 2024*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**▶ ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>DIVIDENDS AND INTEREST</b>							
INTEREST	11/14/24	C	FULLYPAID LENDING REBATE DUE 12/31/35 Oct2024 REBATE Security Number: 8S87337				\$1.18
<b>Total Dividends And Interest</b>							<b>\$1.18</b>
<b>SECURITIES RECEIVED AND DELIVERED</b>							
JOURNAL	11/01/24	C	BIONANO GENOMICS INC COMMON STOCK TO TYPE 1 FROM TYPE 7 FFS(291616458) CUSIP: 09075F305	1			
JOURNAL	11/12/24	O	BIONANO GENOMICS INC COMMON STOCK TO TYPE 7 FROM TYPE 1 FFS(292665202) CUSIP: 09075F305	1			
JOURNAL	11/01/24	O	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 7 TO TYPE 1 FFS(291616458) CUSIP: 09075F305	-1			
JOURNAL	11/12/24	C	BIONANO GENOMICS INC COMMON STOCK FROM TYPE 1 TO TYPE 7 FFS(292665202) CUSIP: 09075F305	-1			
<b>Total Securities Received And Delivered</b>							

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*November 1, 2024 - November 30, 2024*

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ACCOUNT NUMBER **5ND-69027-1B RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**▶ ANNOUNCEMENTS****IMPORTANT INFORMATION**

For certain Index Options Webull charges a per contract fee, referred to as the Webull Index Option Contract Fee. The Add'l fee column in the trade confirmation is made up of the Webull Index Option Contract Fee, the Proprietary Index Option Fee, and the OCC fee. The Tran Fee in the trade confirmation is an aggregate of the Regulatory Transaction (SEC) Fee, Trading Activity Fee (TAF), and Options Regulatory Fee (ORF).

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2024 is available on the website at <https://apexfintechsolutions.com/legal/disclosures/>. A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2024, Apex Clearing Corporation had a net capital of \$445,881,608 and was \$416,473,687 in excess of its required net capital of \$29,407,921. As of July 31, 2024, Apex Clearing Corporation had net capital of \$476,161,687 and was \$440,570,210 in excess of its required net capital of \$35,591,477.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation In Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**Participating Bank Removal**

BMO Bank National Association and SoFi Bank, National Association will be removed as a participating bank from the FDIC-Insured Deposit Sweep Program on or before December 31, 2024.

**IMPORTANT INFORMATION**

To our valued customers:

November 1, 2024 - November 30, 2024

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ACCOUNT NUMBER 5ND-69027-18 RR WEA



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

DEREK HUY HUY VU

## ► ANNOUNCEMENTS (CONTINUED)

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. Please note SIPC does not cover commodity contracts and options on futures. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**IMPORTANT INFORMATION**

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

November 1, 2024 - November 30, 2024

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ACCOUNT NUMBER **5ND-69027-18 RR WEA****DEREK HUY HUY VU****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION**

Coming Soon - Addition of U.S. Bank, Citibank, and Old National: We are in the process of adding U.S. Bank National Association, Citibank, National Association, and Old National Bank to the FDIC-Insured Deposit Sweep Program for all eligible accounts. The banks will be eligible to receive deposits on or before September 30, 2024.

**IMPORTANT INFORMATION - Privacy Policy**

I N D I V I D U A L A C C O U N T

*November 1, 2024 - November 30, 2024*

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ACCOUNT NUMBER 5ND-69027-18 RR WEA

DEREK HUY HUY VU

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

APEX has launched its new Global Class Actions Asset Recovery Program. This Service automatically processes all proof of claim forms when a security in your account is eligible for participation in a class action lawsuit. Any proceeds from the Class Action Service will be subsequently deposited into your account. Your account will automatically be enrolled in the Class Action Service as of June 1, 2024. An administration fee of 20% will be deducted from any class action settlement funds prior to the deposit of proceeds into your account. If you would like your claim to be filed on your behalf, no action is needed. If, at any time, you do not wish to participate in the Class Actions Service, you may choose to un-enroll by reaching out to your Broker. For additional information, please visit <https://apexfintechsolutions.com/legal/disclosures/>

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

I N D I V I D U A L A C C O U N T

*November 1, 2024 - November 30, 2024*

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ACCOUNT NUMBER **5ND-69027-18 RR WEA**

**DEREK HUY HUY VU**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► **ANNOUNCEMENTS (CONTINUED)**

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**CONTACT APEX CLEARING**

For general inquiries, please submit your questions to our Individual Investor Contact Page on the Apex website. Our Customer Support team will assist in providing the necessary answers to your questions.

Individual Investor Contact Page: <https://go.apexfintechsolutions.com/individual-investor-contact-form>

**Physical mail may be sent to:**

Apex Clearing Corporation  
Attn: Customer Support  
350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201

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